## COMMAND INSPECTION PROGRAM

**EXCEPTIONS DOCUMENT** 

	OPI	
Command:	Division: Valley	Chapter 1
Yuba-Sutter		VUI
Inspected by: Canalia, Dan, #14768		Date: /30/08
Carlana, Dari,	AND VENEZA AS	

number of the inspection in the Chapt	er inspection number. Onder 10	oxes as necessary, or fill in the blanks as indicated byward to: enter the next level of command whe document innovative practices, suggestions for subject to appeal findings. A CHP 51 Memorar	statewide
TYPE OF INSPECTION		☐ Corrective Action Plan Included	
☐ Division Level ☑ Command	Level	Appeal Included	
☐ Executive Office Level		Attachments Included	
[] Executive childs forest	Forward to:	Commander's Şignature:	Date:
Follow-up Required:		R. God	3/5/09
☐ Yes	Due Date:	C.V.	701
Chapter Inspection:		ares [2] 2012 12 12 12 12 12 12 14 14 14 14 14 14 14 14 14 14 14 14 14	
Inspector's Comments Rega	arding Innovative Practice	es:	
None.	и		
Command Suggestions for	Statewide Improvement:		
None.			
6			
Inspector's Findings:			

No discrepancies noted.

## COMMAND INSPECTION PROGRAM

**EXCEPTIONS DOCUMENT** 

Page 2

None.

Command:	Division: Valley	Chapter: 4
Yuba-Sutter		
Inspected by:		Date:
Canalia, Dan, #14768		

Commander's Response:	
None.	
Inspector's Comments:	

Required Action

Corrective Action Plan/Timeline

N/A

## COMMAND INSPECTION PROGRAM

**EXCEPTIONS DOCUMENT** 

Page 3

Command: Yuba-Sutter	Division: Valley	Chapter: 4	
Inspected by:		Date:	
Canalia, Dan,	#14768		

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Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
Appeal Review/Decision. (This shall be the only level of appeal)	
N/A	
Lead Inspector's Signature:	Date:
Alu Cenula	3/5/09
Responding Commander's Signature (for appeal):	Date:
Neshonding Commander a Cignature (19, 1977)	

Page

1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: 285	Division: Valley	Number: 201
Evaluated by:	14768	Date: 12/30/08
Assisted by:		Date:

discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Sqt. D. Canalia, #14768 Command Level ☐ Division Level Office of Inspections Voluntary Self-Inspection Commander's Signature: Follow-up Required: 12/30/09 Follow-Up Inspection X No Yes For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: X ☐ Yes ☐ No approving paperwork related to receiving and ŃΑ preparing collections? 2. Does the command have Standard Operating Remarks: □No N/A ☐ Yes Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks: N/A ☐ Yes ☐ No duties for collections received? 4. Does the command have adequate separation of Remarks: N/A □No Yes duties for the cash receipt process? Is access to the safe and/or vault appropriately Remarks: Petty cash lock box/Change □ N/A X Yes □No restricted? Fund locked. 6. Does a record exists which identifies who has access Remarks: Sgt., Captain and Office ☐ Yes No. □ N/A to the safe and/or vault and when changes in access Manager have access. occur? 7. Was the lock combination changed when an excess Remarks: X N/A ∏ No number of employees were aware of the ☐ Yes combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: Yes ☐ No X N/A 9. Are weekly transmittal reports prepared in Remarks: Weekly □ N/A ✓ Yes ☐ No accordance with departmental policy? 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks: Unless delays due to ☐ No □ N/A X Yes Management Section (FMS) within five working days vacation/holidays. following the week covered by the report?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such

#### **INSPECTION PROGRAM**

<ol> <li>Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>CHP 221, Malicious Damage Report.</li> <li>CHP 464, Traffic Control Cost Estimate – Advance Deposit.</li> <li>Civil subpoena.</li> </ol>	⊠ Yes	□ No	□ N/A	Remarks: Absence Reports (STD 634) Civil Subpoena
12. Is a memorandum for cash shortages prepared if necessary?	∑ Yes	□No	□ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?		☐ No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	∑ Yes	☐ No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	X Yes	☐ No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	🛚 Yes	☐ No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	☑ Yes	□ No	□ N/A	Remarks: DVDs/Photos
18. Are all counter receipts pre-numbered and issued in numerical sequence?	∑ Yes	□No	□ N/A	Remarks: Sequential per book (CHP 251)
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□No	⊠ N/A	Remarks: To date no action.
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	□No	<b>⊠</b> N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	X Yes	□No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	▼ Yes	□No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	<b>∑</b> Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	∑ Yes	□No	□ N/A	Remarks: Petty Cash Reimbursement (CHP 264)
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	M Yes	□ No	□ N/A	Remarks:

#### **INSPECTION PROGRAM**

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	∑ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	✓ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

	The state of the s	A Johnson		
Command:	Division:	Chapter:		
Woodland	Valley	4		
Inspected by:		Date:		
D. R. Iketani		1/29/09		

Sent mounto

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.	corrective action plans, and may	be used to appeal findings. A CHP 51 Memoran	idum may be used if
TYPE OF INSPECTION  Division Level Command I  Executive Office Level  Follow-up Required:  Yes No  Chapter Inspection:  Inspector's Comments Regar	Forward to: Valley Division  Due Date: 12/31/08i	Corrective Action Plan Included Appeal Included Attachments Included Commander's Signature:	Date:
Command Suggestions for St	tatewide Improvement:		
None.			
Inspector's Findings:			

In response to a Comm-Net Message dated September 22, 2008, the North Sacramento Area conducted a comprehensive evaluation of the Command's fiscal controls to ensure compliance with departmental policy. No discrepancies were noted.

The following documents were completed as part of this inspection:

- Exceptions Document
- Fiscal Controls Inspection Document

Corrective Action Plan/Timeline

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command: Woodland	Division: Valley	Chapter: 4
Inspected by: D. R. Iketani		Date: 1/29/09

Commander's Response:	
Inspector's Comments:	×

N/A

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: Woodland	Division: Valley	Chapter:	
Inspected by: D. R. Iketani		Date: 1/29/09	

Appeal Process. (Appeals shall be filed within five (5)	business days of the completed chapter inspection).
Commander's Basis for Appeal:	
Commander's basis for Appeal.	
N/A	
Appeal Paview/Decisions and	
Appeal Review/Decision: (This shall be the only leve	el of appeal).
N/A	
O	
130110	
Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	1/29/09
responding commander's Signature (for appear):	Date:



1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Word and 30 Division: 20	Number.
Drell Carrie	1)29/09
D.R. IKetini	1/29/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF	NIFECTION		DEAD INST		cure: 1 1	, (	
Div	rision Level	X Command Level	1 a	nelle	- 3	arrid	$\cup$
	ice of Inspections	Uoluntary Self-Inspection	1 /				,
Fo	Mow-up Required: ]Yes ☐ No	Follow-Up Inspection	Command	KILL			01/29/09
Manu Chapt	er 2.	hapter 4, and HPW 11.2,					
đ.	approving paperwork re preparing collections?	_	⊠ Yes	□No	□ NJA	Remarks	
2.	Does the command have Procedures (SOP) to pro- for overall management receiving and preparing	ovide necessary guidelines and accountability of	🛚 Yes	☐ Nio	NIA	Remarks	
3.	duties for collections rec		X Yes	fvio	□ N/A	Remarks	
4.	dufies for the cash recei		▼Yes	□ No.	□ N/A	Remarks:	
5.	restricted?		☐ Yes	☐ No	⊠ N/A	Remarks	
	to the safe and/or vault a occur?	ich identifies who has access and when changes in access	☐ Yes	☐ No	⊠n/a	Remarks	1
7.	number of employees w combination, transferred requires access?	out of the Area, or no longer	☐ Yes	□ No	⊠ n/a	Remarks	
왕. 	Is the safe securely and		☐ Yes	□ No	ANIA	Remarks:	
	Are weekly transmittal re accordance with departm	rental policy?	XYes	□ No	□NÆ	Remarks:	
7 O.		report(s) submitted to Fiscal  AS) within five working days  ed by the report?	X Yes	□ No	□N/A	Remarks	

## INSPECTION PROGRAM

Chapter 4

Fiscal Controls

11. Does the command submit the following forms	¥ Yes	□ No	□ N/A	Remains
with the weekly transmittel when expensione:	尺 /二		_	i
(1) CHP 265, Sale of Discarded Tires/Junk	- 4	3 N		1
Batteries/Used Rotors.				· ·
(2) CHP 38, Evidence/Property Receipt/Report				
the stains of Properties			1	
(3) STD 634, Absence and Additional Time Worked		V i		
Depart for jury duly.				
res cuip 221 Malicious Damage Report				
(5) CHP 484, Traffic Control Cost Estimate -			1	
Advance Deposit.	11			
ray Civil submonta				
12. is a memorandum for cash shortages prepared if	F271 and	□ No	□ N/A	Remarks
	X Yes	Per	I INDE	
13. Does the command ensure the information written on		-	T MITTE	Remarks:
the parenter receipt is complete and legible?	X Yes	□ No	□ N/A	
14. Was a counter receipt issued for each witness fee		l	- A-1 82	Remarks
14. Was a counter receipt bodes in cook	X Yes	☐ No	NI/A	
deposit received?  15. Was a counter receipt issued for each movie.			1	Remarks
15. Was a counter receipt based for counter	☑ Yes	☐ No	□ N/A	). Aled (See See See See See See See See See Se
wide-load, and special event detail(s)?	1		1	Remarks:
16. Was each counter receipt issued for each sale,	Yes	⊠ Ma	AYM 🔲	1, 77 pilotine
including the sale of discarded fires, junk hatteries,		1		
used rotors, and other cash received?	1			Remarks
17. Is sales tax added to items that are not for resale?	X Yes	Nio	☐ N/A	PRESIDENCE.
1 and and served in	-			D-market
18. Are all counter receipts pre-numbered and issued in	Yes.	Mo	☐ N/A	Remarks
	123	1		
19. Were transfers of counter receipt books/certificates	☐ Yes	No	X N/A	Remarks
between field commands reputied out a com-		1 -		
o w Mon Follomenty		1		
" C. CID 420 Dicharsement Voltcher, property	☐ Yes	IND	IZI NIA	Remarks
authorized and completed to support experiment.	3 ==3	+		
- CLIO 284 Pathy Cash Replending	☑ Yes	. Man	□ N/A	Remarks
and the same stated at least monthly it over a land.				W.
quarterly if under \$10.00, and on June 30 of each			1	
fiscal year?		-	_	
22 Is the CHP 264 properly authorized?	⊠ Yes	No	TIN#	Remarks
		1340		
23. Does the total amount of cash, receipts on hand, and				Remarks:
receipts in transit equal the total of petty cash and	Ves Ves	·   1949	1 1 1 1 1 1 1 1 1	
The state of the s				-1.0
of 1- from documentation to support pendals reveals of	1	K7 a.c.	, │ □ NÆ	Remarks: CHV
petty cash and change funds performed by the	Yes	s   XMo	,   - 140	"I only the 204
designated Decomp		-		
or Announced and shortages of the pelly cash	1	□		A. Remarks:
funds reported to Fiscal Management Section?	☐ Yes	s Mo	F 1 1960	Pt.
TURBS (Epoleon to 1 Door 1915)				

Page

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STATE OF CALLFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### INSPECTION PROGRAM

26. Were change funds used to ca orders or cashier/travelers che		☐ Yes	⊠ Mo	□ N/A	Remarks:
27. Are change funds over \$100 ar over \$200 kept in a safe, vault, adequate to safepuard cash?		☐ Yes	[] fNin	N/A	Remarks
28. Are all petty cash purchases un	nder \$50?	⊠ Yes	☐ No		Remarks
29. Is petty cash used to purchase	prohibited items?	☐ Yes	⊠ No	□NÆ	Remarks
30. Did the command circumvent the splitting the purchase?		☐ Yes	⊠/No.	□ N/A	Remarks
31. Is a petty cash custodian design commander?	nated by the	∑ Yes	No	□ N/A	Remarks

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

	<b>(9</b> )	0 m 3
Command: Truckee	Division: Valley	Chapter: Chapter 4, Piscal Controls
Inspected by: Sergeant St	eve Bryan, #10527	12/03/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		□ Corrective Action Plan Included	i
□ Division Level ☒ Comm	nand Level	☐ Appeal Included	
☐ Executive Office Level		☐ Attachments Included	Date:
Follow-up Required:	Forward to:	Commander's Signature:	Date.
⊠ Yes □ No	Due Date:	- Day Kore	3-9-09
Chapter Inspection:	Control of the Contro		
	AND THE PROPERTY OF THE PROPERTY OF THE PARTY OF THE PART		
Inchector's Comments	Regarding Innovative Pra	actices:	
Inspector's Comments I	Regarding Innovative Pra	actices:	
	Regarding Innovative Pra	actices:	
	Regarding Innovative Pra	actices:	
	Regarding Innovative Pra	actices:	
Inspector's Comments F	Regarding Innovative Pra	actices:	
N/A			
N/A	Regarding Innovative Pra		

Inspector's Findings:

Item #2: The Areas SOP is currently undergoing revision to include guidelines for overall management and accountability of receiving and preparing collections.

Item #21: The Petty Cash replenishments requests are being done on a semi-annual bases.

Item #31: Update memo to include OSSI as petty cash custodian.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command:	Division:	Chapter: Chapter 4,
Truckee	Valley	Fiscal Controls
Inspected by: Sergeant Steve	e Bryan, #10527	Date: 12/03/2008

Commander's Response:	
Commander a response.	

The OSSI will request petty cash replenishments on a quarterly bases. The OSSI will also utilize the areas suspense system to ensure the quarterly requirements are being met.

Inspector's Comments:	

## Required Action

Corrective Action Plan/Timeline

The Administrative Sergeant will follow-up in the first quarter of 2009 to ensure policy is being followed.

No further action necessary.

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 3

Command:	Division:	Chapter: Chapter 4,
Truckee	Valley	Fiscal Controls
Inspected by:		Date:
Sergeant Ste	eve Bryan, #10527	12/03/2008

Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:	
Confinance s basis for Appeal.	
Appeal Review/Decision: (This shall be the only level of appeal).	A STATE OF THE STA
( company to the	
_ead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:

Page

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## INSPECTION PROGRAM

Command: Truckee	Division: Valley	Number: Chapter 4, Fiscal Controls
Firelizated by:	/e Bryan, #10527	Date: 12/03/2008
Accisted by:	sher, #A12351	Date: 12/03/2008

			lanks as ind	icated An	y discrepancies with policy,
INSTRUCTIONS: Answer individual applicable legal statues, or deficient discrepancies and/or deficiencies struthermore, the memorandum shape "Followers Inspection" box shall	nall be documented on an Exception Il include any follow-up and/or corre be marked and only deficient items	ctive action( need to be	s) taken. If	this form is	section. Additionally, such next level of command. used as a Follow-up Inspection,
the Follow-up mapedian		Lead Inspecto	or's Signature	:	
TYPE OF INSPECTION  Division Level  Office of Inspections			Beyn	<u></u>	Date:
Follow-up Required:  Yes No	Follow-Up Inspection	Commander	s signature.	lan	12-9-05
For applicable policies, refer Manual (SAM), HPM 11.1, C	to State Administrative hapter 4, and HPM 11.2,		/		
approving paperwork r	y involved in reviewing and elated to receiving and	⊠ Yes	□ No	□ N/A	Remarks:
for overall management	it and accountability of	☐ Yes	⊠ No	□ N/A	Remarks: The areas SOP is currently undergoing revision to include guidelines.
receiving and preparing collections?  3. Does the command have adequate separation of		⊠ Yes	□ No	□ N/A	Remarks:
duties for collections received?  4. Does the command have adequate separation of		⊠ Yes	□No	□ N/A	Remarks:
duties for the cash rec  5. Is access to the safe a	ind/or vault appropriately	Yes	☐ No	⊠ N/A	Remarks: The Area has no safe.  Cash box only.
to the safe and/or vau	which identifies who has access It and when changes in access	Yes	□No	⊠ N/A	Remarks:
- f 01/000	ition changed when an excess were aware of the red out of the Area, or no longer	☐ Yes	☐ No	⊠ N/A	Remarks:
1	nchored to the building?	Yes	□No	⊠ N/A	Remarks:
Are weekly transmittate accordance with departments.	I reports prepared in	⊠ Yes	☐ No	□ N/A	Remarks: Reviewed by the Commander
L. tronomi	ttal report(s) submitted to Fiscal (FMS) within five working days	⊠ Yes	□No	□ N/A	Remarks:

## INSPECTION PROGRAM

with	s the command submit the following forms the weekly transmittal when applicable?	⊠ Yes	□ No	□ N/A	Remarks:
(1)	CHP 265, Sale of Discarded Tires/Junk				4
` '	Ratteries/Lised Rotors.				A/
(2)	CHP 36, Evidence/Property Receipt/Report				
	(Unclaimed Property).				
(3)	STD 634, Absence and Additional Time Worked				
(4)	Report, for jury duty. CHP 221, Malicious Damage Report.				
(4)	CHP 464, Traffic Control Cost Estimate –				
(5)	Advance Deposit.				4
(6)	Civil subpoena.				
12 ls a	memorandum for cash shortages prepared if	57.7	□ No	□ N/A	Remarks:
700	essan/?		☐ No	LINA	
13 Doe	es the command ensure the information written on	N Vaa	□No	□ N/A	Remarks:
tho	counter receipt is complete and legible?				
14. Was	s a counter receipt issued for each witness lee	⊠ Yes	□No	□ N/A	Remarks:
deno	nsit received?	<u> </u>	1110		
15. Was	s a counter receipt issued for each movie,	⊠ Yes	□No	□ N/A	Remarks:
wide	e-load, and special event detail(s)?	EN 100			B-merko:
16. Wa	s each counter receipt issued for each sale,		│ □ No	□ N/A	Remarks:
inclu	uding the sale of discarded tires, junk batteries, d rotors, and other cash received?				
use	ales tax added to items that are not for resale?				Remarks:
17. IS S	ales lax added to herno that are		☐ No	□ N/A	
10 Are	all counter receipts pre-numbered and issued in			□ N/A	Remarks:
num	perical sequence?		☐ No	□ N/A	
10 10/0	re transfers of counter receipt books/certificates		□ No	⊠ N/A	Remarks:
l bet	ween field commands reported on a Chr 200A,	Yes	☐ No		
Cre	odit Memo - Non- Equipment?			-	
20 le t	he STD 439. Disbursement Voucher, properly	Yes	□No	⊠ N/A	Remarks:
aut.	horized and completed to support experiulture:	1 163			
21. Are	the CHP 264, Petty Cash Replenishment	Yes	⊠ No	□ N/A	Remarks: Petty cash Replenishments are being done on a Semi Annual
Re	quests, completed at least monthly if over \$10.00,				basis.
qua	arterly if under \$10.00, and on June 30 of each				
fisc	cal year?				Remarks:
22. Is t	he CHP 264 properly authorized?		☐ No	□ N/A	1 (Citiano)
02 De	es the total amount of cash, receipts on hand, and				Remarks: Quarterly audits completed.
23. DO	eipts in transit equal the total of petty cash and	│ 🏻 Yes	□ No	□ N/A	
aha	ango funde?				
24 10 1	here documentation to support periodic reviews of			□ N/A	Remarks:
net	try cash and change funds performed by the	⊠ Yes	No 🗌 No		`
001	mmander or designated person?				
DE Arc	a overages and shortages of the petty cash	☐ Yes	s □ No	⊠ N/A	Remarks: No overages or shortages.
fur	nds reported to Fiscal Management Section?	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	, 1140	23 1417	

### INSPECTION PROGRAM

26. V	Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. A	Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	☐ No	□ N/A	Remarks: Cash box.
28. A	Are all petty cash purchases under \$50?	⊠ Yes	☐ No	□ N/A	Remarks:
29. Is	s petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
	Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is	s a petty cash custodian designated by the commander?	☐ Yes	⊠ No	□ N/A	Remarks: Update to include OSSI and prepare a memo.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	h pter:	
Tracv	Valley	4	
Inspected by: Sergeant Pat W	hite, #11326	Date: 11/20/08	

sent on to our

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

improvement, identified deficience additional space is required.	ies, corrective action plans, and ma	ay be used to appear infulfigs. A Citi of Mi	, moranea
TYPE OF INSPECTION		☐ Corrective Action Plan Included	
☐ Division Level ☐ Comma	and Level	☐ Appeal Included	
Executive Office Level		Attachments Included	
Follow-up Required:	Forward to:	Commander's Signature:	Date:
50.00	Valley Division	(m/1)	11/24/08
☐ Yes	Due Date: 12/31/08	1/1/ Maman	
Chapter Inspection:			
	die Lenguetius Prosti		
Inspector's Comments R	egarding Innovative Practi	Ces.	
None.			
Command Suggestions f	or Statewide Improvement	•	
None.			
Inspector's Findings:			

In response to a Comm-Net Message dated September 22, 2008, the Tracy Area conducted a comprehensive evaluation of the Command's fiscal controls to ensure compliance with departmental policy. No discrepancies were noted.

The following documents were completed as part of this inspection:

- Exceptions Document
- Fiscal Controls Inspection Document

## **COMMAND INSPECTION PROGRAM**

EXCEPTIONS DOCUMEN
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Command: Tracy	Division: Valley	Chapter:
Inspected by: Sergeant Pat V	/hite, #11326	Date: 11/20/08

Page 2

Commander's Response:	

Inspector's Comments:

Wat Associated Authorities	
Required Action	20、为产生是1000000000000000000000000000000000000
ANTE WEST STEEL	
Corrective Action Plan/I	imeline

N/A

#### COMMAND INSPECTION PROGRAM

#### **EXCEPTIONS DOCUMENT**

Command: Tracv	Division: Division	Chapter:	
Inspected by: Sergeant Pat White, #11326		Date: 11/20/08	

Page 3

	Charles of Sent interpretagn many identification of interpretagn of the section of
Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
N/A	
N/A	
	V .
1 /10	
Lead Inspector's Signature:	Date:
11 at 100 more	11/24/08 Date:
Responding Commander's Signature (for appeal):	Date.
' V	

### INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: TRACY	Division: VALLEY	Number: 4
Evaluated by: Sgt Pat White		Date: 11/20/2008
Assisted by: Karen Williamson		Date: 11/20/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION

Lead Inspector's Signature:

TYPE OF INSPECTION		Theat				
		Lead in:	spector's Sigi	nature:		
Division Level	○ Command Level	P	- الماح	+	61 =10	20.
Office of Inspections	☐ Voluntary Self-Inspectio	n C	PJWLET 691. 111324			26
Follow-up Required: ☐ Yes ☐ No	☐ Follow-Up Inspection	Comman	Commander's Signature:  Date: 11/24/08			
For applicable policies, refer t Manual (SAM), HPM 11.1, Ch Chapter 2.	apter 4, and HPM 11.2,					- 1
Is management actively approving paperwork relappreparing collections?      Does the command have	ated to receiving and	⊠ Yes	□No	□ N/A	Remarks:	
Procedures (SOP) to pro- for overall management a receiving and preparing of	vide necessary guidelines and accountability of ollections?	☐ Yes	⊠ No	□ N/A	Remarks:	
Does the command have duties for collections rece     Does the command have duties for the command have	adequate separation of ived?	⊠ Yes	□No	□ N/A	Remarks:	
duties for the cash receipt	process?	[] Yes	□No	➤ N/A	Remarks:	
restricted?		⊠ Yes	□No	□ N/A	Remarks:	
occur?	n identifies who has access d when changes in access	☐ Yes	⊠ No	□ N/A	Remarks:	
requires access?	e aware of the ut of the Area, or no longer	☐ Yes	□No	⊠ N/A	Remarks:	
8. Is the safe securely anchor		☐ Yes		571	Pomorkovi a alva d	
Are weekly transmittal repo accordance with department	stal policy?		□No	⊠ N/A		metal box, no safe.
<ol> <li>Is the weekly transmittal representation (FMS following the week covered)</li> </ol>	oort(s) submitted to Fiscal	Yes     Yes     Yes     ✓	□ No	□ N/A	Remarks:	

## INSPECTION PROGRAM

	11. Does the command submit the following forms				and the same of th
	with the weekly transmittal when applicable?	N Va-			Remarks:
	(1) CHP 265, Sale of Discarded Tires/Junk		3 No	│ □ N/A	Nemarks.
	Batteries/Used Rotors.	1	1		P <sub>I</sub>
	(2) CHP 36, Evidence/Property Receipt/Report	1			W
	(Unclaimed Property).				
	(3) STD 634, Absence and Additional Time Worked	1			
	Report, for jury duty.	1	4		1
	(4) CHP 221, Malicious Damage Report.	1			1
	(5) CHP 464, Traffic Control Cost Estimate –		T		
	Advance Deposit.				
	(6) Civil subpoena.	1	1		
100	12. Is a memorandum for cash shortages prepared if	_			
1	necessary?	N V	<b>1</b> —		Permedia
Ì	13. Does the command ensure the information written on		☐ No	_ □ N/A	Remarks:
	the counter receipt is complete and legible?		<b>—</b>	l	Daniel
Ì	14. Was a counter receipt issued for each witness fee		☐ No	□ N/A	Remarks:
1	deposit received?	57.4		l	D- 1
ľ	15. Was a counter receipt issued for each movie,		☐ No	□ N/A	Remarks:
	wide-load, and special event detail(s)?		l	_	Bearding
Ī	16. Was each counter receipt issued for each sale,	☐ Yes	☐ No	□ N/A	Remarks:
l	including the sale of discarded tires, junk batteries,	N V	l		Remarks:
L	used rotors, and other cash received?	☐ Yes	│	│ □ N/A	Nemarks.
	17. Is sales tax added to items that are not for resale?			ļ	
		☐ Yes	MNa		Remarks:
	18. Are all counter receipts pre-numbered and issued in	162	⊠ No	□ N/A	remarks.
Ű.	mumerical sequence?	⊠ Yes	□No		Remarks:
	19. Were transfers of counter receipt books/certificates	KZ 163		□ N/A	· tomante
	between field commands reported on a CHP 2664	Yes	□No	EZI NIZA	Remarks:
	Credit Memo - Non- Equipment?	- , 165		⊠ N/A	. Torrianto.
	20. Is the STD 439, Disbursement Voucher, properly				
_	authorized and completed to support expenditure?	[] Yes	□No	<b>⊠</b> N/A	Remarks:
	21. Are the CHP 264, Petty Cash Replenishment	1,103	140	IN/A	
	Requests, completed at least monthly if over \$10.00	⊠ Yes	□No	□ N/A	Remarks:
	quarterly if under \$10.00, and on June 30 of each	Z 105	L 140		
	fiscal year?		1		
	22. Is the CHP 264 properly authorized?				
		⊠ Yes	□No	□ N/A	Remarks:
	23. Does the total amount of cash, receipts on hand, and				
	receipts in transit equal the total of petry cash and	⊠ Yes	□No	□ N/A	Remarks:
-	cnange funds?				
	24. Is there documentation to support periodic reviews of				
	petty cash and change funds performed by the	⊠ Yes	☐ No	□ N/A	Remarks:
-	commander or designated person?				
	25. Are overages and shortages of the petty cash				
	funds reported to Fiscal Management Section?	Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	□Yes	Na Na		Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	☐ Yes	⊠ No □ No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?				
29. Is petty cash used to purchase prohibited items?		☐ No	□ N/A	Remarks:
	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

Sent original to or or 3 2509

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM

#### **EXCEPTIONS DOCUMENT**

	1-4	ASSESS TO SECURITY OF THE PARTY
Command: Stockton	Division: Valley	Chapter: 4
Inspected by: Lieutenant Larry C	hambers, #11961	Date: 2/1/09

EXCEPTIONS DOCUMEN			
number of the inspection in the Chapte	r inspection number. Onder	e boxes as necessary, or fill in the blanks as indic "Forward to:" enter the next level of command we to document innovative practices, suggestions for ay be used to appeal findings. A CHP 51 Memory	or statewide
TYPE OF INSPECTION		☐ Corrective Action Plan Included	
☐ Division Level ☐ Command L	evel	☐ Appeal Included	
☐ Executive Office Level		☐ Attachments Included	
Follow-up Required:	Forward to: Valley Division	Commander's Signature:	Date: 3/10/09
☐ Yes	Due Date: 12/31/08	of humana	
Inspector's Comments Regar			
Command Suggestions for S	tatewide improvemer	10:	
None.			

In response to a Comm-Net Message dated September 22, 2008, the Stockton Area conducted a comprehensive evaluation of the Command's fiscal controls to ensure compliance with departmental policy. No discrepancies were noted.

The following documents were completed as part of this inspection:

- Exceptions Document
- Fiscal Controls Inspection Document

Inspector's Findings:

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division: Valley	Chapter:	
Stockton Inspected by: Lieutenant Larr	y Chambers, #11961	Date: 2/1/09	

Page 2

Commander's Response:	- Hay all the same of the same	

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

N/A

### COMMAND INSPECTION PROGRAM

### **EXCEPTIONS DOCUMENT**

Command: Stockton	Division: Division	Chapter: 4	
Inspected by: Lieutenant Larry Chambers, #11961		Date: 2/1/09	

Page 3

Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
*	
N/A	
ű	
187	
Appeal Review/Decision: (This shall be the only level of appeal).	
N/A	
Lead Inspector's Signature:	Date:
	3/10/09
Responding Commander's Signature (for appeal):	Date:
" V	

Page

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **INSPECTION PROGRAM**

Chapter 4 Fiscal Controls

Command: Stockton 265	Division: VALLEY	Number:
Evaluated by: Lt. Tim Port		Date: 12/24/2008
Assisted by: Lita Rodriguez		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead ins	pector's Signa	ature:			
☐ Division Level	⊠ Command Level			$\rightarrow$			
☐ Office of Inspections	☐ Voluntary Self-Inspection	- ا	100				
Follow-up Required: ☐ Yes ☐ No	☐ Follow-Up Inspection	Comman	der's Signatur	re:	Date: 1/5/09		
For applicable policies, refer Manual (SAM), HPM 11.1, C Chapter 2.	hapter 4, and HPM 11.2,			1.0			
approving paperwork re preparing collections?	_	⊠ Yes	☐ No	□ N/A	Remarks:		
for overall management receiving and preparing	ovide necessary guidelines and accountability of collections?	⊠ Yes	□No	□ N/A	Remarks:		
Does the command have duties for collections recommand to the collections.	eived?	⊠ Yes	□No	□ N/A	Remarks:		
Does the command have duties for the cash receipts.  Is access to the safe and the command have duties for the cash receipts.	ot process?	⊠ Yes	☐ No	□ N/A	Remarks:		
restricted?	ich identifies who has access		☐ No	□ N/A	Remarks: Area utilizes a cash box		
to the safe and/or vault a occur?	and when changes in access	⊠ Yes	□No	□ N/A	Remarks:		
combination, transferred requires access?	out of the Area, or no longer	☐ Yes	□ No	⊠ N/A	Remarks:		
Is the safe securely anch		☐ Yes	⊠ No	□ N/A	Remarks: Cash box secured in locked cabinet		
Are weekly transmittal re- accordance with departm	ental policy?	∑ Yes	□No	□ N/A	Remarks:		
<ol> <li>Is the weekly transmittal r Management Section (FM following the week covered</li> </ol>	IS) within five working days. I	⊠ Yes	□No	□ N/A	Remarks:		

### **INSPECTION PROGRAM**

	11. Does the command submit the following forms				
	with the weekly transmittal when applicable?		□ No	□ N/A	Remarks:
	(1) CHP 265, Sale of Discarded Tires/Junk				`
	Batteries/Used Rotors.				
	(2) CHP 36, Evidence/Property Receipt/Report				1
	(Unclaimed Property).				1
	(3) STD 634, Absence and Additional Time Worked	1			1
	Report, for jury duty.	1	l.		
	(4) CHP 221, Malicious Damage Report.	1	4		1
	(5) CHP 464, Traffic Control Cost Estimate – Advance Deposit.				
	(6) Civil subpoeņa.		1		
	12. Is a memorandum for cash shortages prepared if				
	necessary?				Domarka
ı	Does the command ensure the information written on		☐ No	□ N/A	Remarks:
1	the counter receipt is complete and legible?		١ ــ		Remarks:
İ	14. Was a counter receipt issued for each witness fee		☐ No	□ N/A	Remarks.
l	deposit received?		57.11		Remarks:
ľ	15. Was a counter receipt issued for each movie,	☐ Yes	⊠ No	□ N/A	Remarks.
	wide-load, and special event detail(s)?	⊠ Yes	☐ No	□ N/A	Remarks:
ı	<ol><li>Was each counter receipt issued for each sale</li></ol>	23.00		T IN/A	
ij	including the sale of discarded tires, junk batteries		☐ No	□ N/A	Remarks:
_	used rotors, and other cash received?				
	17. Is sales tax added to items that are not for resale?				
_	10. 0 11 1		☐ No	□ N/A	Remarks:
	18. Are all counter receipts pre-numbered and issued in				
_	numerical sequence?		☐ No	□ N/A	Remarks:
	19. Were transfers of counter receipt books/certificates	_			_
	between field commands reported on a CHP 266A,		☐ No	N/A	Remarks:
	Credit Memo - Non- Equipment?				
	20. Is the STD 439, Disbursement Voucher, properly	54			В
	authorized and completed to support expenditure?  21. Are the CHP 264, Petty Cash Replenishment		☐ No	□ N/A	Remarks:
	Requests, completed at least monthly if over \$10.00,	N			Description
	quarterly if under \$10.00, and on June 30 of each	⊠ Yes	☐ No	☐ N/A	Remarks:
	fiscal year?				
	22. Is the CHP 264 properly authorized?				
	29 1 property authorized?	⊠ Yes			Remarks:
Ī	23. Does the total amount of cash, receipts on hand, and	res	□ No	□ N/A	Terrains.
	receipts in transit equal the total of petty cash and	⊠ Yes			Remarks:
	change funds?	M 162	□ No │	□ N/A	
	24. Is there documentation to support periodic reviews of				
	petty cash and change funds performed by the	⊠ Yes	□No	□ N/A	Remarks:
	commander or designated person?				
	25. Are overages and shortages of the petty cash				
		⊠ Yes	□No	□ N/A	Remarks:

### INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	□ Vee	Mu		Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	☐ Yes	No □ No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?				
29. Is petty cash used to purchase prohibited items?	⊠ Yes	☐ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by	☐ Yes	⊠ No	□ N/A	Remarks:
splitting the purchase?  31. Is a petty cash custodian designated by the	☐ Yes	⊠ No	□ N/A	Remarks:
commander?	⊠ Yes	□ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM

#### **EXCEPTIONS DOCUMENT**

		<b>a</b>
Command: South Sac	Division: Valley	Chapter:
Inspected by: Captain A. R. Jo	ones, #11718	Date: 12/3/08

		- AND THE CORP AND ADDRESS OF ACCOUNT OF THE PROPERTY OF THE P	The standard standard
number of the inspection in the Chapte	r inspection number. Officer 10	oxes as necessary, or fill in the blanks as indi rward to:" enter the next level of command we document innovative practices, suggestions for the used to appeal findings. A CHP 51 Memo	or statewide
TYPE OF INSPECTION		☐ Corrective Action Plan Included	
☐ Division Level ☐ Command L	.evel	Appeal Included	
☐ Executive Office Level		Attachments Included	
Executive Office Ecver	Forward to:	Commander's Signature:	Date:
Follow-up Required:	Valley Division		12/3/08
☐ Yes	Due Date: 12/31/08	Day	
Chapter Inspection:	<b>深刻产业性课题是"福尼上</b> 区"。		
Inspector's Comments Regar	ding Innovative Practice	98:	
None.			
Command Suggestions for S	tatewide Improvement:		
None.			

In response to a Comm-Net Message dated September 22, 2008, the South Sacramento Area conducted a comprehensive evaluation of the Command's fiscal controls to ensure compliance with departmental policy. No discrepancies were noted.

The following documents were completed as part of this inspection:

- Exceptions Document
- Fiscal Controls Inspection Document

Inspector's Findings:

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: South Sac	Division: Valley	Chapter:	
Inspected by: Captain A. R. Jo	nes, #11718	Date: 12/3/08	

Page 2

Odaria Dagnongo:			
Commander's Response:			
Inspector's Comments:			
III OF COLO.			

Required Action

Corrective Action Plan/Timeline

N/A

## COMMAND INSPECTION PROGRAM

### **EXCEPTIONS DOCUMENT**

Command:	Division: Division	Chapter:	
Inspected by: Captain A. R.	Jones, #11718	Date: 12/3/08	

Page 3

Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Appeal Process. (Appeals shall be filed within the (5) business say	
Commander's Basis for Appeal:	
N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
N/A	
tead Inspector's Signature:	Date: 12/3/08
Responding Commander's Signature (for appeal):	Date:
Lespanding Communical a Organical a Communical Communic	



#### INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division:	Number:	
South Sac	Valley	252	
Evaluated by:		Date:	
Capt. A. R. Jo	nes, #11718	12/3/08	
Assisted by:			
OSSI A. Iglesi	as, #A11652	12/03/08	

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION ☐ Division Level Command Level ☐ Office of Inspections Follow-up Required: 12/2/08 ☐ Follow-Up Inspection ⊠ No Yes For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and approving paperwork related to receiving and Remarks: X Yes ΠNo □ N/A preparing collections? 2. Does the command have Standard Operating Remarks: Procedures (SOP) to provide necessary guidelines □ No  $\square$  N/A for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks: duties for collections received? □ No □ N/A 4. Does the command have adequate separation of Remarks: duties for the cash receipt process? X Yes ΠNo □ N/A 5. Is access to the safe and/or vault appropriately Remarks: restricted? ✓ Yes □ No ☐ N/A 6. Does a record exists which identifies who has access to the safe and/or vault and when changes in access Remarks: Said memo has been ☐ Yes ⊠ No ☐ N/A prepared and filed. occur? 7. Was the lock combination changed when an excess Remarks: number of employees were aware of the ⊠ Yes ΠNo □ N/A combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: Safe weighs over 520 ☐ Yes ⊠ No □ N/A pounds when empty. 9. Are weekly transmittal reports prepared in Remarks: accordance with departmental policy? □ No N/A 10. Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days Remarks: X Yes □ No □ N/A following the week covered by the report?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **INSPECTION PROGRAM**

<ol> <li>Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>CHP 221, Malicious Damage Report.</li> <li>CHP 464, Traffic Control Cost Estimate – Advance Deposit.</li> <li>Civil subpoena.</li> </ol>	⊠ Yes	□No	□ N/A	Remarks:
12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	☐ No	□ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	☐ No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?		□No	□ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?		□No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□No	⊠ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?		□No	□ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks
22. Is the CHP 264 properly authorized?		□No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **INSPECTION PROGRAM**

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM EXCEPTION'S DOCUMENT

Command:	Division:	Chapter:	
South Lake Tahoe	Valley	Four	
Inspected by: Lieutenant T. Malone OSSI Carol Tudesko / 0	DA Stacie Brooks	Date: 12-29-2008	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		☐ Corrective Action Plan Included		
☐ Division Level ☐ Command Level		Appeal Included		
☐ Executive Office Level		Attachments Included		
Follow-up Required:	Forward to: Valley Division  Due Date: 1-30-2009	Commander's Signature:	Date: 12-30-2008	
	Duc Date. 1-00-2003			
Chapter Inspection:		Carry Carry St. St. Committee Committee		
Inspector's Comments Regar	rding Innovative Practice	es:		
No innovative of remarkable practices and procedures as		ring this inspection. The Area follow e policies.	s established	
Command Suggestions for St	tatewide Improvement:			
The Area had no suggestions	for statewide improven	nent.		

#### Inspector's Findings:

The Area has been following established practices, policies and procedures as outlined in HPM 11.1, Chapter 4 and HPM 11.2, Chapter 2, with few exceptions.

Although periodic reviews of petty cash and the change fund had been performed in the past, there was no evidence a review had been preformed and documented recently. The Area is resolved to conduct periodic reviews more frequently although no shortages or overages have occurred.

Due to a recent oversight a CHP 464, *Traffic Control Estimate – Advance Deposit*, was not attached to the weekly transmittal. The CHP 464, was sent as soon as it became known.

# **COMMAND INSPECTION PROGRAM** EXCEPTION'S DOCUMENT

Page 2

Command:	Division:	Chapter:
South Lake Tahoe	Valley	Four
Inspected by: Lieutenant T. Malone OSSI Carol Tudesko /	OA Stacie Brooks	Date: 12-30-2008

Commander's R	esponse:
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The identified deficiencies were relatively minor in nature. The Area staff has made a diligent effort to comply with established policies and procedures set forth in the governing manuals. All identified deficiencies have been addressed and corrected.

Inspector's Comments:

None.

### Required Action

Corrective Action Plan/Timeline

None.

# **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Page 3

Command:	Division:	Chapter:	
South Lake Tahoe	Valley	Four	
Inspected by: Lieutenant T. Malone OSSI Carol Tudesko /	OA Stacie Brooks	Date: 12-30-2008	

Appeal Process: (Appeals shall be filed within five (5) business days of the complete	ed chapter inspection).
Commander's Basis for Appeal:	
Communaci s Basis for Appeal.	
None.	
36	
Appeal Review/Decision: (This shall be the only level of appeal).	

1/2 W/alore	Date: 12-30-2008	
Responding Commander's Signature (for appeal):	Date:	

### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

Command: South Lake Tahoe	Division: Valley	Number: 246	
Evaluated by: Lieutenant T. Malone		Date: 12-30-2008	
Assisted by: OSSI Carol Tudesko / OA Stacie Brooks		Date: 12-30-2008	

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION ☐ Division Level □ Command Level Office of Inspections ☐ Voluntary Self-Inspection Follow-up Required: Commander's Signature: 12-30-2008 ☐ Follow-Up Inspection ☐ Yes ⊠ No For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and approving paperwork related to receiving and Remarks: ☐ No □ N/A preparing collections? 2. Does the command have Standard Operating Procedures (SOP) to provide necessary guidelines Remarks: The refers to the Yes ⊠ No □ N/A for overall management and accountability of procedures and requirements outlined in HPM 11.1, Chapter 4. receiving and preparing collections? 3. Does the command have adequate separation of duties for collections received? Remarks: ✓ Yes ☐ No □ N/A 4. Does the command have adequate separation of duties for the cash receipt process? Remarks: ⊠ Yes □ N/A ☐ No 5. Is access to the safe and/or vault appropriately restricted? Remarks: The Area does not have a ⊠ Yes ☐ No ⊠ N/A safe 6. Does a record exists which identifies who has access to the safe and/or vault and when changes in access Remarks: The Area utilizes a locked ⊠ Yes ☐ No □ N/A drawer, with limited access, for cash and check receipts. 7. Was the lock combination changed when an excess number of employees were aware of the Remarks: The Area does not have a ☐ Yes ⊠ N/A □ No combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: The Area does not have a ☐ Yes □ No ⊠ N/A 9. Are weekly transmittal reports prepared in accordance with departmental policy? Remarks: No □ N/A 10. Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days Remarks: □No □ N/A

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

following the week covered by the report?

# **INSPECTION PROGRAM**

11 Doos the serviced at 11 to 11 to 1				
11. Does the command submit the following forms with the weekly transmittal when applicable?	⊠ Yes	☐ No	□ N/A	Remarks:
(1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.			1	1
(2) CHP 36, Evidence/Property Receipt/Report				1
(Unclaimed Property).				
(3) STD 634, Absence and Additional Time Worked		1		
Report, for jury duty.	M.			1
(4) CHP 221, Malicious Damage Report.				
(5) CHP 464, Traffic Control Cost Estimate –				
Advance Deposit.				
(6) Civil subpoena.	-			
12. Is a memorandum for cash shortages prepared if necessary?			<b>—</b>	Remarks: This has not occurred in
	Yes	☐ No	⊠ N/A	the recent past.
13. Does the command ensure the information written on	1			
the counter receipt is complete and legible?	☐ Yes	☐ No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee	<b>57.</b>			Pomerke:
deposit received?  15. Was a counter receipt issued for each movie,		☐ No	□ N/A	Remarks:
wide-load, and special event detail(s)?	N V		AU/A	Remarks:
16. Was each counter receipt issued for each sale,	☐ Yes	☐ No	□ N/A	Normania.
including the sale of discarded tires, junk batteries,	⊠ Yes	□No	□ N/A	Remarks:
used rotors, and other cash received?	M 163		I LINA	
17. Is sales tax added to items that are not for resale?				
	☐ Yes	⊠ No	□ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in				
numerical sequence?		☐ No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates		_		Barred The Area I are a
between field commands reported on a CHP 266A,	Yes	☐ No	⊠ N/A	Remarks: The Area has not had a need for this type of transfer.
Credit Memo - Non- Equipment?  20. Is the STD 439, Disbursement Voucher, properly			ļ	The state of the s
authorized and completed to support expenditure?	⊠ Yes	Пио	□ NI/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment	□ Tes	☐ No	□ N/A	
Requests, completed at least monthly if over \$10.00,	⊠ Yes	☐ No	□ N/A	Remarks:
quarterly if under \$10.00, and on June 30 of each	23 .00			
fiscal year?				
22. Is the CHP 264 properly authorized?				
00.5		☐ No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and				_
receipts in transit equal the total of petty cash and	⊠ Yes	☐ No	🔲 N/A	Remarks:
change funds?				
<ol> <li>Is there documentation to support periodic reviews of petty cash and change funds performed by the</li> </ol>	M va-			Remarks: This procedure has been
commander or designated person?	⊠ Yes	☐ No	N/A	utilized in the past, however had not
and the second s				been done recently. More frequently
25. Are overages and shortages of the petty cash				reviews will occur.
funds reported to Fiscal Management Section?	Yes	□No	⊠ N/A	Remarks: The Area has not
			~ 1 1 1 1 1	encountered an overage or shortage

### **INSPECTION PROGRAM**

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□ No	□ N/A	Remarks: The petty cash is kept in a locked cash box and locked in the OSSI's desk. Limited access to the interior of the desk has been maintained.
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: San Andreas	Division: Valley	Chapter: 4	
Inspected by: L. Harmon, Ser	geant #13532	Date: 12/5/08	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		☐ Corrective Action Plan Included		
☐ Division Level ☐ Command Level		Appeal Included		
Executive Office Level		☐ Attachments Included		
Follow-up Required:	Forward to: <u>Valley Division</u> Due Date: 12/31/2008	Commander's Signature:	Date: 12/10/2008	
Chapter Inspection:	THE SAME THE CONTRACTOR OF THE STREET			
Inspector's Comments Regar	ding Innovative Practice	es:		
In order to ensure receipts are with a receipt and counts chainvolved with purchasing are	is able to meet reporting e obtained for petty cash nge to ensure money re trained in the procedure cts a minimum of four su	responsibility with the suspense log g deadlines in her absence. n expenditures, OSSI reminds emplo turned and the receipt coincide. All s which apply to spending petty cash urprise audits per fiscal year, ensurin	oyees to return employees n.	
Command Suggestions for St	atewide Improvement:			
		og which serves as a reminder to co	induct at least	
Inspector's Findings:				

There are no deficiencies noted. The Area does an excellent job in accountability. One of the keys to success is that the OSSI takes personal responsibility for the program. Additionally, The Area commander stays actively involved and holds all employees to a high standard.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: San Andreas	Division: Valley	Chapter: 4
Inspected by: L. Harmon, Ser	geant #13532	Date: 12/5/08

Page 2 of 3

Commander's Response:	

ents:

# Required Action

Corrective Action Plan/Timeline

No corrective action is necessary.

Thed new Cyclot- Dore # 143 NIT 12/31/08

JB

# COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 3 of 3

Command: San Andreas	Division: Valley	Chapter: 4
Inspected by: L. Harmon, Ser	geant #13532	Date: 12/5/08

Appeal Process:	(Appeals shall be filed within five (5) business days of the completed chapter inspection).	5/16/16/1
Commander's Ba		
Commander 3 Da	asis for Appeal.	
Assaul Daview/Da		
Appeal Review/De	ecision: (This shall be the only level of appeal).	

Lead Inspector's Signature:	12.8.08	
Responding Commander's Signature (for appeal):	Date:	

### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

Command:	Division:	Number:	
San Andreas	Valley	255-08-006	
Evaluated by:		Date:	
L. Harmon, Sgt., #13532		12/5/08	
Assisted by:		Date:	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF	FINSPECTION		Lead Insp	ector's Signa	ture:	
☐ Di	vision Level	⊠ Command Level	0	١		
		☐ Voluntary Self-Inspection			hmon,	SGT. 13532
	ollow-up Required: ☑ Yes   ☑ No	☐ Follow-Up Inspection	Command J. Z.	der's Signatur	e:	Date: 12/10/2009
Manu Chap		apter 4, and HPM 11.2,				
1.	approving paperwork rela preparing collections?	ted to receiving and	⊠ Yes	□No	□ N/A	Remarks: Area Commander conducts surprise audits on regular basis.
2.	Procedures (SOP) to provious for overall management a receiving and preparing c	vide necessary guidelines nd accountability of ollections?	⊠ Yes	□ No	□ N/A	Remarks: OSSI and OA job descriptions are contained in SOP, including guidelines for receiving and preparing collections.
3.	duties for collections rece	ived?	☐ Yes	⊠ No	□ N/A	Remarks: Not possible in a two person clerical unit.
4.	Does the command have duties for the cash receipt	process?	☐ Yes	⊠ No	□ N/A	Remarks: Not possible in a two person clerical unit.
5.	Is access to the safe and/ restricted?		⊠ Yes	□No	□ N/A	Remarks: Cash box for money collected for collision reports and petty cash is locked after business hours.
6.	to the safe and/or vault an occur?	n identifies who has access d when changes in access	⊠ Yes	☐ No	□ N/A	Remarks: OSSI is the fund custodian on file with Headquarters
	requires access?	e aware of the out of the Area, or no longer	☐ Yes	□No	⊠ N/A	Remarks:
8.	Is the safe securely ancho	<u> </u>	☐ Yes	□No	⊠ N/A	Remarks:
	Are weekly transmittal repo accordance with departme	ntal policy?	⊠ Yes	☐ No	□ N/A	Remarks: Few Errors - See File
10.	Is the weekly transmittal re Management Section (FMS following the week covered	6) within five working days	⊠ Yes	☐ No	□ N/A	Remarks: Always

### **INSPECTION PROGRAM**

_					
	<ul><li>11. Does the command submit the following forms with the weekly transmittal when applicable?</li><li>(1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. N/A</li></ul>	⊠ Yes	□ No	□ N/A	Remarks:
	<ul> <li>(2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>(3) STD 634, Absence and Additional Time Worked</li> </ul>				
	Report, for jury duty. (4) CHP 221, Malicious Damage Report.				
	<ul> <li>(5) CHP 464, Traffic Control Cost Estimate –</li> <li>Advance Deposit.</li> <li>(6) Civil subpoena.</li> </ul>				
	12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	☐ No	□ N/A	Remarks:
	13. Does the command ensure the information written on the counter receipt is complete and legible?		☐ No	□ N/A	Remarks:
	14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
	15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	☐ No	□ N/A	Remarks: Only one special event detail last year.
	16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	□No	⊠ N/A	Remarks:
	17. Is sales tax added to items that are not for resale?	Yes	☐ No	⊠ N/A	Remarks:
	18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	☐ No	□ N/A	Remarks:
	19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠ Yes	□No	□ N/A	Remarks:
	20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠ Yes	□No	□ N/A	Remarks: Very seldom used or necessary.
	21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks: On June 30th of each year or at the end of each CHP 264 page.
	22. Is the CHP 264 properly authorized?	⊠ Yes	□No	□ N/A	Remarks:
	23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks: Balanced weekly,
	24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□ No	□ N/A	Remarks: Commander regularly conducts surprise audits, memos on file.
	25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	□No	□ N/A	Remarks: Very seldom necessary.

### **INSPECTION PROGRAM**

00 14/				
26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□ No	□ N/A	Remarks: Change funds are kept locked in box and then stored in locked drawer. Petty Cash is stored in a locked desk. OSSI, OA and commander have only set of keys.
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks: Petty cash purchases are logged and all receipts submitted to Accounting on CHP 264's for reimbursement.
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks: Petty cash receipts show compliance.
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks: Petty cash receipts show compliance.
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□ No	□ N/A	Remarks: OSSI, OA as back-up.

# COMMAND INSPECTION PROGRAM

# **EXCEPTIONS DOCUMENT**

PS	not my wal to	GUPY
Command: Sac CC	Division: Valley	Chapter: 4
Inspected by:	ard Davis, #11471	Date: 12/23/08

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number of the inspection in the Chapte	er inspection number. Onder i	boxes as necessary, or fill in the blanks Forward to:" enter the next level of comn by document innovative practices, sugges by be used to appeal findings. A CHP 51	stions for statewide
TYPE OF INSPECTION	(4)	Corrective Action Plan Includ	led
☐ Division Level ☐ Command I	Level	☐ Appeal Included	
☐ Executive Office Level		Attachments Included	Date:
Follow-up Required:	Forward to: Valley Division	Commander's Signature:	12/29/08
☐ Yes ☐ No	Due Date: 12/31/08	Br V-	No in the second
Chapter Inspection:			a video or organization
Inspector's Comments Rega	rding Innovative Praction	ces:	
None.			
Command Suggestions for S	Statewide Improvement		
None.			

In response to a Comm-Net Message dated September 22, 2008, Sacramento Communications Center conducted a comprehensive evaluation of the Command's fiscal controls to ensure compliance with departmental policy. No discrepancies were noted.

The following documents were completed as part of this inspection:

- Exceptions Document
- Fiscal Controls Inspection Checklist

Inspector's Findings:

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Sacramento CC	Division; Valley	Chapter:	
Inspected by: Sergeant Richard	Davis, #11471	Date: 12/23/08	

Page 2

o de de Deservação	
Commander's Response:	
Amic negative control of the control	
Inspector's Comments:	

Required Action

Corrective Action Plan/Timeline

N/A

# COMMAND INSPECTION PROGRAM

**EXCEPTIONS DOCUMENT** 

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Command: Sacramento CC	Division: Division	Chapter:
Inspected by: Sergeant Richard	Davis, #11471	Date: 12/23/08

Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Appeals to coos. Appeals shall be med wall two (o) such see to ye	
Commander's Basis for Appeal:	
Communication Dubble 1617, Ippedia	
NI/A	
N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
Appeal Neview/Decision: (This shall be the only level of appeal)	
N/A	
	8)
	I Date:
Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	12/23/08
Responding Commander's Signature (for appeal):	Date:
1	

Page

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **INSPECTION PROGRAM**

Chapter 4 Fiscal Controls

Command: Division: Sac. Comm. Center Valley Division		Number: 214	
Evaluated by: Sgt. Richard Davis 11471		Date: 12/23/2008	
Assisted by: Rosa Jauregui, OSSI		Date: 12/23/2008	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION □ Command Level ☐ Division Level Office of Inspections □ Voluntary Self-Inspection Commander Signature: Follow-up Required: Follow-Up Inspection No. Yes For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: □ N/A approving paperwork related to receiving and ⊠ Yes □ No preparing collections? 2. Does the command have Standard Operating Remarks: X Yes ☐ N/A Procedures (SOP) to provide necessary guidelines ☐ No for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks: ⊠ Yes □ No □ N/A duties for collections received? 4. Does the command have adequate separation of Remarks: duties for the cash receipt process? Yes ☐ No N/A 5. Is access to the safe and/or vault appropriately Remarks: ✓ Yes □ No □ N/A restricted? 6. Does a record exists which identifies who has access Remarks: □ N/A □ No to the safe and/or vault and when changes in access occur? 7. Was the lock combination changed when an excess Remarks: number of employees were aware of the ⊠ Yes ☐ No ☐ N/A combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: N/A ☐ Yes ☐ No 9. Are weekly transmittal reports prepared in Remarks: accordance with departmental policy? X Yes □ No □ N/A 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks: Management Section (FMS) within five working days ⊠ Yes □No □ N/A

following the week covered by the report?

# INSPECTION PROGRAM

- 1	11. Does the command submit the following forms				<u> </u>
	with the weekly transmittal when applicable? (1) CHP 265, Sale of Discarded Tires/Junk	⊠ Yes	□ No	□ N/A	(2) CHP 36
1	Batteries/Used Rotors.	1			(3) STD 634
1	(2) CHP 36, Evidence/Property Receipt/Report				(5) Civil Subpoena
1	(Unclaimed Property).	ls.			
1	(3) STD 634, Absence and Additional Time Worked				
I	Report, for jury duty.	1	1		
ı	(4) CHP 221, Malicious Damage Report.			1	
ı	<ol> <li>CHP 464, Traffic Control Cost Estimate –</li> </ol>	A .	1		
	Advance Deposit.				
L	(6) Civil subpoena.				1
	12. Is a memorandum for cash shortages prepared if				
L	necessary?		☐ No	□ N/A	Remarks:
	13. Does the command ensure the information written on				
L	the counter receipt is complete and legible?		☐ No	□ N/A	Remarks:
	<ol> <li>Was a counter receipt issued for each witness fee</li> </ol>				
_	deposit received?		☐ No	□ N/A	Remarks:
	<ol><li>Was a counter receipt issued for each movie,</li></ol>		III———————————————————————————————————		
1	wide-load, and special event detail(s)?	☐ Yes	☐ No	N/A	Remarks:
	16. Was each counter receipt issued for each sale,				
	including the sale of discarded tires, junk batteries,	☐ Yes	☐ No	⊠ N/A	Remarks:
-	used rotors, and other cash received?				
	17. Is sales tax added to items that are not for resale?				
	10 Are all acceptance in	☐ Yes	☐ No	N/A ⊠	Remarks:
	18. Are all counter receipts pre-numbered and issued in				
-	numerical sequence?		☐ No	□ N/A	Remarks:
	19. Were transfers of counter receipt books/certificates	_			_
	between field commands reported on a CHP 266A,	│	☐ No	⊠ N/A	Remarks:
-	Credit Memo - Non- Equipment?				
	20. Is the STD 439, Disbursement Voucher, properly				_
-	authorized and completed to support expenditure?		☐ No	□ N/A	Remarks:
	21. Are the CHP 264, Petty Cash Replenishment				
	Requests, completed at least monthly if over \$10.00,	⊠ Yes	☐ No		Remarks:
	quarterly if under \$10.00, and on June 30 of each fiscal year?	1			
	22. Is the CHP 264 properly authorized?				
	22. 13 the GTTP 204 properly authorized?		_		D
	23. Does the total amount of cash, receipts on hand, and	⊠ Yes	☐ No	□ N/A	Remarks:
	receipts in transit equal the total of petty cash and	57.4			Domania.
	change funds?	Yes     ✓	☐ No	□ N/A	Remarks:
	24. Is there documentation to support periodic reviews of				
	petty cash and change funds performed by the	N Va			Remarks:
	commander or designated person?	⊠ Yes	☐ No	□ N/A	Titilalns.
	25. Are overages and shortages of the petty cash				
	funds reported to Fiscal Management Section?	M v	n. 1	C	Remarks:
		⊠ Yes	□No	□ N/A	Nomans.

# INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?			1	
27. Are change funds over \$100 and not	☐ Yes	☐ No	⊠ N/A	Remarks:
adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?			-	
29. Is petty cash used to purchase prohibited items?	⊠ Yes	☐ No	□ N/A	Remarks:
	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?		2110	I IN/A	
31. Is a petty cash custodian designated by the	☐ Yes	⊠ No	□ N/A	Remarks:
commander?	⊠ Yes	□No	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: 245-Placerville	Division: Valley	Chapter:
Inspected by: T. Brown #1473		Date. 12/12/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION

Corrective Action Plan Included

☐ Division Level ☒ Comma	and Level	Appeal Included	
☐ Executive Office Level		☐ Attachments Included	Date:
Follow-up Required:	Forward to:	Commander's Signature:	12/12/08
⊠ Yes □ No	Due Date:	womun	
ASSESSABLE STATE OF MERCAL		AND THE STATE OF T	
Chapter Inspection:			(国际社会)等的传统自己(September
Inspector's Comments R	egarding Innovative F	Practices:	
nspector's Comments R	egarding minovative i	radioes.	
Command Suggestions f	for Statewide Improve	ement:	
Command Suggestions	Of Otalowide Imp		

Overall, the Fiscal Controls audit was completed with only minor identifiable corrective measures needed. The areas where improvements are recommended are as follows:

Fiscal Controls Sections 6 and 31- Currently, no record exists that identifies/designates the designee for the cash fund or the petty cash fund.

Fiscal Controls Section 8- The Placerville Area has no safe. All monies for both the cash fund and petty cash fund are secured in locking drawers. The drawers are securely anchored to the front desk and access to both funds are adequately and appropriately restricted.

# COMMAND INSPECTION PROGRAM FXCEPTIONS DOCUMENT

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Command:	Division:	Chapter:
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245-Placerville	l Vallev	1 4
240-1 18001 VIII0	v and	
Inspected by:		Date:
		40/40/000
T. Brown #14738		12/12/2008
1. DIOWITH 1470	<u> </u>	

Oder's Desenses	
Commander's Response:	
Communication of Responder.	

Corrective action will be completed by the date(s) indicated in the Required Action Section below.

Inamantar's Comments:	
Inspector's Comments:	

# Required Action Corrective Action Plan/Timeline

Fiscal Controls Sections 6 and 31- Memorandums were prepared on 12/12/2008, naming Office Services supervisor I, Dee Dee Troutte, as the Commander's designee in charge of both the cash fund and petty cash fund. Both memos were retained in area and forwarded to the Fiscal Management Section. OSSI Troutte and the Commander are the only employees with access to the petty cash fund.

Fiscal Controls Section 8- The Command will purchase a combination safe for the Area's petty cash fund. The safe will be anchored to the building and will only be accessible to the Commander or his designee. This will be completed no later than March 1, 2009.

Lead Inspector's Signature

Responding Commander's Signature (for appeal)

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: 245-Placerville	Division: Valley	Chapter:
Inspected by: T. Brown #1473		Date: 12/12/2008

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Page 3			
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The state of the s	n five (5) business days of the comple	ted chapter inspect	ion).
定位。其中指导的1997年,1997年,1997年,1997年,1997年,1997年,1997年,1997年,1997年,1997年,1997年,1997年,1997年,1997年,1997年,1997年,1997年			
Commander's Basis for Appeal:			
		6	
91			
Appeal Review/Decision: (This shall be the	only level of appeal).		
Appeal Review Besiever (meaning			
10 W			

Page

1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# INSPECTION PROGRAM

Chapter 4 Fiscal Controls

Command: Placerville	Division: Valley	Number: 245
Evaluated by:		Date: 12/12/2008
Sgt. T. Brown #14738  Assisted by: Dee Dee Troutte (OSSI)		Date: 12/12/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION □ Command Level Division Level ☐ Voluntary Self-Inspection Office of Inspections 12/12/08 Follow-up Required: ☐ Follow-Up Inspection No ☐ Yes For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: □ N/A □ No approving paperwork related to receiving and X Yes preparing collections? 2. Does the command have Standard Operating Remarks: □ N/A □ No X Yes Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks: □ N/A ΠNo X Yes duties for collections received? 4. Does the command have adequate separation of Remarks: □ N/A No X Yes duties for the cash receipt process? 5. Is access to the safe and/or vault appropriately Remarks: □ N/A □ No X Yes restricted? Does a record exists which identifies who has access Remarks: □ N/A No. to the safe and/or vault and when changes in access ☐ Yes Was the lock combination changed when an excess Remarks: ⊠ N/A □ No [ Yes number of employees were aware of the combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: N/A □ No X Yes 9. Are weekly transmittal reports prepared in Remarks: □ N/A □ No X Yes accordance with departmental policy? 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks: □ N/A □ No Management Section (FMS) within five working days X Yes following the week covered by the report?

Page 2 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# INSPECTION PROGRAM

<ul> <li>11. Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>(1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>(2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>(3) STD 634, Absence and Additional Time Worked Report, for jury duty.</li> </ul>	⊠ Yes	□ No	□ N/A	Remarks:
<ul> <li>(4) CHP 221, Malicious Damage Report.</li> <li>(5) CHP 464, Traffic Control Cost Estimate – Advance Deposit.</li> <li>(6) Civil subpoena.</li> </ul>				a .
12. Is a memorandum for cash shortages prepared if necessary?	☐ Yes	□No	⊠ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	☐ Yes	□No	⊠ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	☐ No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	Yes	□No	⊠ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?		☐ No	□ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?		□No	□ N/A	Remarks
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?		□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	Yes	□ No	⊠ N/A	Remarks

# INSPECTION PROGRAM

26	. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27	Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks
28	. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29	. Is petty cash used to purchase prohibited items?	Yes	⊠ No	□ N/A	Remarks:
	. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31	. Is a petty cash custodian designated by the commander?	Yes	⊠ No	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM

Page 1 of 3

Command: Oroville	Division: Valley	Chapter: 4	
Inspected by: Perlstein		Date: 12/18/08	

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number of the inspection in the Chapte	I Inspection number. Onder	oxes as necessary, or fill in the blanks as indicat rward to:" enter the next level of command whe document innovative practices, suggestions for the used to appeal findings. A CHP 51 Memorar	statewide
TYPE OF INSPECTION		Corrective Action Plan Included	
☐ Division Level ☐ Command L	evel	Appeal Included	
Executive Office Level		Attachments Included	1 = -
Follow-up Required:	Forward to:	Commander's Signature:	Date:
☐ Yes ⊠ No		J. CRUSTON	12/22/08
	Due Date:	9. ( Geo. )	
Chapter Inspection:	Water van State of Tale		
Inspector's Comments Regar	rding Innovative Practice	es:	
Command Suggestions for S	Statewide Improvement:		
Inspector's Findings:			

Area command is aware of the responsibility and importance of fiscal controls. The office services supervisor, Joyce Gutierrez, is knowledgeable and conscientious regarding maintaining proper controls.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL **COMMAND INSPECTION PROGRAM** 

Page 2 of 3

Command: Oroville	Division: Valley	Chapter:
Inspected by: Peristein		Date: 12/18/08

Commander's	Response:
Camanandara	alenauladana tha

Commander acknowledges the findings.

Inspector's Comments:

Not applicable.

Required Action

Corrective Action Plan/Timeline

# **COMMAND INSPECTION PROGRAM**

Page 3 of 3

Command:	Division:	Chapter:
Oroville	Valley	4
Inspected by:		Date:
Perlstein		12/18/08

Appeal Process: (Appeals shall be filed within five (5) business days of the	ne completed chapter inspection).
Commander's Basis for Appeal:	: >:
Appeal Review/Decision: (This shall be the only level of appeal).	
(The chair se the child for the appear).	
ead Inspector's Signature:	Date:
esponding Commander's Signature (for appeal):	17-12- 8 Date:
	Date.

Page

1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: Oroville	Division: Valley	Number: 240	
Evaluated by: Perlstein		Date:	
Assisted by: Gutierrez		Date: 12/18/08	

discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: ☐ Division Level Command Level Office of Inspections ☐ Voluntary Self-Inspection Follow-up Required: Commander's \$idnature: Date: ☐ Follow-Up Inspection Yes ⊠ No ALSTON 12.22-08 For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and approving paperwork related to receiving and Remarks: ☐ No □ N/A preparing collections? 2. Does the command have Standard Operating Procedures (SOP) to provide necessary guidelines Remarks: Yes ⊠ No □ N/A for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of duties for collections received? Remarks: 🛛 Yes □ No □ N/A 4. Does the command have adequate separation of duties for the cash receipt process? Remarks: □ No N/A 5. Is access to the safe and/or vault appropriately restricted? Remarks: ☐ Yes ☐ No ⊠ N/A 6. Does a record exists which identifies who has access to the safe and/or vault and when changes in access Remarks: ☐ Yes ☐ No ⊠ N/A occur? Was the lock combination changed when an excess number of employees were aware of the Remarks: ☐ Yes □ No  $\bowtie$  N/A combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: ☐ Yes □ No ⊠ N/A 9. Are weekly transmittal reports prepared in accordance with departmental policy? ⊠ Yes Remarks: ΠNo N/A 10. Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days Remarks: 🛛 Yes □ No □ N/A following the week covered by the report?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such

### **INSPECTION PROGRAM**

<ol> <li>Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>CHP 221, Malicious Damage Report.</li> <li>CHP 464, Traffic Control Cost Estimate – Advance Deposit.</li> <li>Civil subpoena.</li> </ol>	⊠ Yes	□No	□ N/A	Remarks:
12. Is a memorandum for cash shortages prepared if necessary?	☐ Yes	☐ No	⊠ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	☐ No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
Was a counter receipt issued for each movie,     wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	☐ No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	⊠ Yes	□No	□ N/A	Remarks: HPH 82.4 Ambulance Handbook
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	□ No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠ Yes	☐ No	□ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	.⊠ Yes	□No	□ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	⊠ Yes	□No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	☐ No	□ N/A	Remarks:
commander or designated person?	⊠ Yes	□No	□ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	□Yes	□No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### **INSPECTION PROGRAM**

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	∏ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	☐ No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	П No	□ N/A	Remarks: OSS J. Gutierrez

### COMMAND INSPECTION PROGRAM

#### **FXCEPTIONS DOCUMENT**

Command: North Sac	Division: Valley	Chapter:	
Inspected by:	)ePaola, #10705	Date: 3/3/09	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

improvement, identified deficiencies additional space is required.	corrective action plans, and ma	ay be used to appeal findings. A CHP 51 Me	emorandum may be used if
TYPE OF INSPECTION	TAKE STATE OF THE	☐ Corrective Action Plan Included	
☐ Division Level ☒ Comman	d Level	Appeal Included	
☐ Executive Office Level		☐ Attachments Included	
Follow-up Required:	Forward to: Valley Division	Commender's Signature:	Date: 3/3/09
☐ Yes     No	Due Date: 12/31/08		
Chapter Inspection:		paper of the coupling a Sast Coupling of	
Inspector's Comments Reg	garding Innovative Pract	ices:	
None.			
	ALC:		
		BANG TANDHET BUSINESS	
Command Suggestions for	Statewide Improvemen	<u>t</u> ;	
None.			

# Inspector's Findings:

In response to a Comm-Net Message dated September 22, 2008, the North Sacramento Area conducted a comprehensive evaluation of the Command's fiscal controls to ensure compliance with departmental policy. No discrepancies were noted.

The following documents were completed as part of this inspection:

- Exceptions Document
- Fiscal Controls Inspection Document

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Division: Valley		Chapter:	
Inspected by: Lieutenant M. DeF	Paola, #10705	Date: 3/3/09	1974

Page 2

Commander's Response:	- Hand Street al	X 2262-03
Inspector's Comments:		

Required Action

Corrective Action Plan/Timeline

N/A

# COMMAND INSPECTION PROGRAM

# **EXCEPTIONS DOCUMENT**

Command: North Sac	Division: Division	Chapter:	
Inspected by: Lieutenant M. DePaola, #10705		Date: 3/3/09	

Page 3

Appeal Process: (Appeals shall be filed within five (5) business of	lays of the completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
(16) Ph. 도시설 IV (19) H. H. H. 프로젝트트 (19) I	
Appeal Review/Decision: (This shall be the only level of appeal	n.
//ppedificerem/sections/	
N/A	
Assert-Inspector's Signature	Date:
Responding Commander's Signature (for appeal):	3/3/09 Date:
Trespontante continuente a series de la continuente del continuente de la continuent	



### INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division: Valley	Number: 250
Sacramento	5 19	
Evaluated by: Lt. M. DePaola		Date: 03/03/09
Assisted by: V. Staggs		Date: 03/03/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

Type of INSPECTION

Lead Inspector's Signature:

TYPE OF INSPECTIO	N			~/	1/		
☐ Division Level ☐ Command Level				(D)	/(/		
Office of Ir	nspections [	Voluntary Self-Inspection					T Detail
Follow-up Required:  Yes No Follow-Up Inspection			Commande	ris Signature	us		3/3/09
Manual (SAI Chapter 2.	и), HPM 11.1, Cha	State Administrative pter 4, and HPM 11.2,					
1. Is ma appro prepa	ving paperwork relationing collections?		⊠ Yes	□ No	□ N/A	Remarks:	
Proce for ov	the command have dures (SOP) to proverall management a ring and preparing co	ide necessary guidelines nd accountability of	⊠ Yes	□No	□ N/A		.2.2 (page 6) Clerical perating Procedures
3. Does	the command have for collections recei	adequate separation of	⊠Yes	□No	□ N/A	Remarks:	
4. Does	the command have for the cash receipt	adequate separation of	⊠ Yes	□No	□ N/A	Remarks:	
5. Is acc	ess to the safe and/ cted?	or vault appropriately	☐Yes	□No	□ N/A	Remarks:	
6. Does to the occur	safe and/or vault an	h identifies who has access d when changes in access	☐ Yes	□ No	□ N/A	Remarks:	
7. Was t numb comb	he lock combination er of employees we	changed when an excess re aware of the out of the Area, or no longer	⊠ Yes	□ No	□ N/A	Remarks:	
8. Is the	safe securely ancho	red to the building?	☐ Yes	□No	□ N/A	Remarks:	
accor	eekly transmittal rep dance with departme	ental policy?	⊠Yes	□No	□ N/A	Remarks:	
10. Is the Mana	weekly transmittal re	eport(s) submitted to Fiscal S) within five working days	⊠ Yes	□No	□ N/A	Remarks:	

# INSPECTION PROGRAM

<ol> <li>Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>CHP 221, Malicious Damage Report.</li> <li>CHP 464, Traffic Control Cost Estimate — Advance Deposit.</li> <li>Civil subpoena.</li> </ol>	Yes	□No	□ N/A	Remarks:
12. Is a memorandum for cash shortages prepared if necessary?	⊠Yes	□No	□ N/A	Remarks:
13. Does the command ensure the information written of the counter receipt is complete and legible?	n 🗵 Yes	□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	⊠Yes	□No	□ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠Yes	□No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠ Yes	☐ No	□ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠Yes	□No	□ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00 quarterly if under \$10.00, and on June 30 of each fiscal year?	, Xes	□No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	⊠ Yes	☐ No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, an receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	of Yes	□No	□ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# **INSPECTION PROGRAM**

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	Yes	⊠ No	   □ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠Yes	□No	□ N/A	Remarks: Ms. Valerie Staggs

### COMMAND INSPECTION PROGRAM

### **EXCEPTIONS DOCUMENT**

Command: Grass	Division: Valley	Chapter: 4
Valley Inspected by: Sgt. N	1. Whiting, #12888	Date: 11/06/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if

additional space is required.		Many and Courtee could be an income and the courte		
TYPE OF INSPECTION		Corrective Action Plan Included		
☐ Division Level ☐ Command I	Level	Appeal Included		
☐ Executive Office Level				
Follow-up Required:	Forward to: Valley Division	Commander's Signature:	Date: 3/3/2	
☐ Yes 🛛 No	Due Date:	C. A. Whater	1/09	
Chapter Inspection: 4 Fiscal				
Inspector's Comments Rega	rding Innovative Practice	es:		
None.				
Command Suggestions for S	Statewide Improvement:	NATIONAL CONTRACTOR OF THE PROPERTY OF THE PRO		
Command Suggestions for S	statewide improvement.			
None.				
	70 - 10 O			
Inspector's Findings:				

CHP 680A (Rev. 09-08) OPI 010

All controls in place.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT
Page 2

Command: Grass /alley	Division: Valley	Chapter: 4
nspected by: Sgt. M.	Whiting, #12888	Date: 11/06/2008

ommander's Response:	F. S. C. S. T. S. S.	5 -4 L/m			
spector's Comments:			es it street we see		

# Required Action Corrective Action Plan/Timeline

None.

# STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM

COMMAND IN	SPECTION FROOM
<b>EXCEPTIONS</b>	DOCUMENT
Page 3	

Command:	Division:	Chapter:
Inspected by:		Date:

Appeal Review/Decision: (This shall be the only level of appeal).  Lead inspector's Signature:  Lead inspector's Signature:  Appeal Review/Decision: (This shall be the only level of appeal).  Date:  11/06/2008  Responding Commander's Signature (for appeal):  Date:	Annual Company of the	business days of the completed cl	napter inspection).
ppeal Review/Decision: (This shall be the only level of appeal).  Cad Inspector's Signature:  Date: 1.106/2008	ppeal Process: (Appeals shall be filed within five (5)	business days of the complete	
Lead inspector's Signature:  Lead inspector's Signature:  Date: 1106/2008	ommander's Basis for Appeal:		
Lead Inspector's Signature:  Date:  11/06/2008  Date:			
Lead Inspector's Signature:  Date:  11/06/2008			
Lead Inspector's Signature:  Date:  11/06/2008  Date:			
Lead Inspector's Signature:  Date:  11/06/2008  Date:			
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Lead Inspector's Signature:  11/06/2008	nneal Review/Decision: (This shall be the only le	vel of appeal).	
Lead Inspector's Signature:  11/06/2008	sppeal Review/Decision: (This shall be the only le	vel of appeal).	
Lead Inspector's Signature:  11/06/2008  Date:	ppeal Review/Decision: (This shall be the only le	vel of appeal).	
Lead Inspector's Signature:  11/06/2008  Date:	ppeal Review/Decision: (This shall be the only le	vel of appeal).	
Lead Inspector's Signature:	ppeal Review/Decision: (This shall be the only le	vel of appeal).	
Lead Inspector's Signature:  11/06/2008  Date:	ppeal Review/Decision: (This shall be the only le	vel of appeal).	
Lead Inspector's Signature:  11/06/2008  Date:	ppeal Review/Decision: (This shall be the only le	vel of appeal).	
Lead Inspector's Signature:  11/06/2008	ppeal Review/Decision: (This shall be the only le	vel of appeal).	
Lead Inspector's Signature:  11/06/2008	ppeal Review/Decision: (This shall be the only le	vel of appeal).	
Lead Inspector's Signature:  11/06/2008	ppeal Review/Decision: (This shall be the only le	vel of appeal).	
Lead Inspector's Signature:  11/06/2008	ppeal Review/Decision: (This shall be the only le	vel of appeal).	
Lead Inspector's Signature:  11/06/2008  Date:	ppeal Review/Decision: (This shall be the only le	vel of appeal).	
Lead Inspector's Signature:  11/06/2008  Date:	ppeal Review/Decision: (This shall be the only le	vel of appeal).	
Lead Inspector's Signature:  11/06/2008  Date:	ppeal Review/Decision: (This shall be the only le	vel of appeal).	
Lead Inspector's Signature:  11/06/2008  Date:	appeal Review/Decision: (This shall be the only le	vel of appeal).	
Al ////// Date:	appeal Review/Decision: (This shall be the only le		
		Date:	

## ANNEX A INSPECTION CHECKLIST – FISCAL CONTROLS

	by:		2881	Dale:
and/or correct ficient items	tive action(s	) taken. If t e-inspected	his form is	y discrepancies with policy, section, Additionally, such next level of command, used as a Follow-up Inspection.
	esu irapox			
pection	Commander		1	12/17/12
stive 111.2, g and	₩ Yes	□ No	□ N/A	Remarks:
ng delines of	X Yes	□No	□ N/A	Remarks
ion of	∏ Yes	□t√o	□ N/A	Remarks:
	17 Yes	□No	□ N/A	Department of the second
	Yes Yes	No	□ N/A	Remarks:
SOLVIOR.	<b>⊠</b> Yes	□ No	□NIA	Remarkia
in excess ir no longer	☐ Yes	□ No	<b>K</b> Í N∕A	Remarks:
	TYTE S	□No	□ N/A	Remarks CABILLET
	128.75	□No	□ N/A	Remails
ed to Fiscal orking days	₩ Yes	□No	□N/A	Remarks
	specifion specifion pection pection pection tive 11.2, g and d d delines of ion	specifion commander pection commander pection commander 11.2, g and delines tive 11.2, g and delines tive 12.4 yes of con of y yes in access in access in access report of yes on one of y yes as access in access y yes one yes one yes of yes one of yes as access in access y yes one yes one yes of yes one yes of yes one yes of yes one yes of yes yes yes of yes	and/or corrective action(s) taken. If ficient items need to be re-inspected lead inspectors Signature:    Lead inspectors Signature:	and access of the period of th

HPM 22.1

# ANNEX A INSPECTION CHECKLIST – FISCAL CONTROLS (continued)

SPECTION PROGRAM apper 4				
11. Does the command submit the following forms with the weekly transmittal when applicable? (1) CHP 265, Sale of Discarded Tires/Junk	<b>⊠</b> Yes	□ No	□ N/A	Remarks:
Batteries/Used Rotors.  (2) CHP 30, Evidence/Property Receipt/Report (Unclaimed Property).  (3) STD 634, Absence and Additional Time Worked Report, for jury duty.  (4) CHP 221, Maticious Damage Report.  (5) CHP 464, Traffic Control Cost Estimate — Advance Deposit.				
(8) Civil subpoena.     12. Is a memorandum for each shortages prepared if	□Yes	□No	N/A	REMARKS NO SHURTAGE
necessary?	54 Yes	□Np	□ N/A	Remarks:
the counter receipt is complete and legiole?  14. Was a counter receipt issued for each witness fee	Yes Yes	□ No	□ N/A	Remarks
deposit received?  15. Was a counter receipt issued for each movie,	□Yes	□No	₩ N/A	REMARKE NONE YET
wide-load, and special event details?  18. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries,	Yes		□ N/A	Remarks.
used rolors, and other cash received?  17. Is sales tax added to items that are not for resale?	∏ Yes	□No	N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in	X Yes	□No	□N/A	Remarks
numerical sequence?  19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 268A.	Yes Yes	□¹No	□ N/A	Remarks
Credit Memo - Non- Equipment?  20. is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	□Yes	□No	N/A	Remarks
<ol> <li>Are the CHP 284, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each</li> </ol>	<b>V</b> Yes	□ No	□NÆ	Remarks
fiscal year?  22. Is the CHP 264 properly authorized?	₩ Yes	□No	□ N/A	Remarks
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and		The Ho	□ N/A	BY THE SECTION OF THE PROPERTY
change funds?  24. Is there documentation to support periodic reviews of the section and change funds performed by the	Yes	□No	□ N/A	REMARKE MONTHLY AUG DAILY CASH BOK
commander or designated person?  25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐ Yes	□No	' <b>⊠</b> N/A	Remarks NO OVER/SHO

HPM 22.1

## ANNEX A INSPECTION CHECKLIST – FISCAL CONTROLS (continued)

				Page 3 of 3
KTE OF CALSFORMA PARTMENT OF CALIFORMA HIGHWAY PÄTROL SPECTION PROGRAM ADJUL 4				
cal Controls	1			Remarks: NEVER.
Were change funds used to cash checks, money orders or cashier/travelers checks?     Are change funds over \$100 and pelly cash funds.	☐ Yes	No   No	□ N/A	Remarks: NEVER
over \$200 kept in a sale, value, or money crease adequate to safeguard cash? 28. Are all petry cash purchases under \$50?	Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	Yes	SZ) No	□ N/A	Remarks: NEVER
20. Did the command circumvent the dollar limitation by	Yes	No. No	□ N/A	Remarks:
splitting the purchase? 31. Is a pelly cash custodian designated by the commander?	₩ Yes	□No	□ N/A	Remarks

HPM 22.1 4-8

forwarded to other 3.50%;

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM

#### EXCEPTIONS DOCUMENT

Command: Gold Run	Division: Valley	Chapter:
Inspected by: Officer Williams		Date: 12/11/09

number of the inspection in the C	hapter inspection number. Under	te boxes as necessary, or fill in the blanks as indictive.  The structure of the structure	or statewide
TYPE OF INSPECTION  Division Level Comma	and Level	☐ Corrective Action Plan Included ☐ Appeal Included ☐ Attachments Included	
Follow-up Required:	Forward to: Valley Division Due Date: 12/31/08	Commander's Signature:	Date:
Chapter Inspection: Fisca	al Controls egarding Innovative Prac	tices:	

The Gold Run Area is able to maintain effective fiscal accountability by following departmental policy, clearly defined employee duty statements and through the lack of employee turnover. Also, the relatively small size of the Area lends itself to fiscal responsibility and management. The Area commander is directly involved with all activities/actions resulting in the expenditure of funds (CHP 43's, x#s, overtime, contracts, etc.)

Area will explore creating spreadsheets to track monthly overtime expenditures (reimbursable and non-reimbursable), procurements, Calcard purchases, x-numbers and contracts. These spreadsheets will provide real time data and serve as a back up to FLSA OT reports and ARMS.

### Command Suggestions for Statewide Improvement:

The Gold Run Area is able to maintain effective fiscal accountability by following departmental policy, clearly defined employee duty statements and through the lack of employee turnover. Also, the relatively small size of the Area lends itself to fiscal responsibility and management. The Area commander is directly involved with all activities/actions resulting in the expenditure of funds (CHP 43's, x#s, overtime, contracts, etc.)

Further in regard to overtime, the Area commander reviews each pay period FLSA report with supervisory staff.

Although not a problem in the Gold run Area, larger neighboring Area's have had significant overtime expenditures resulting from court cases. Efforts have been made to provide the court with Area officers' work schedule in an attempt to have court dates set during an officers work day. The Department should pursue placing full time non-uniformed employee at the court to facilitate this scheduling effort. The savings realized would be considerably higher than the cost of the non-uniformed position.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT
Page 2

Command: Gold Run	Division: Valley	Chapter:
Inspected by:		Date: 12/11/08
Officer Willian	ns, #12961	12/11/00

### Inspector's Findings:

Within the Gold Run Area, the fiscal controls are adequate and within Departmental policy. The collections and petty cash funds are handled and accessed by the OSS1 and the OA, and both are kept in locked file cabinets after business hours. Weekly transmittals are prepared and submitted to FMS,

and periodic reviews of the petty cash and change funds are performed by the commander or designated person. Both funds have continually balanced, and funds have not been used to purchase prohibited items, or to cash checks, money orders, or cashier/travelers checks.

The petty cash fund is kept in a locked cash box and stored in a file cabinet which is locked after hours, however, the change fund is kept in a <u>non-locking</u> cash box, also stored in a file cabinet which is locked after hours. It is suggested a locking cash box be acquired for the change fund.

### Commander's Response:

A lock box to secure funds for change will be purchased.

Inspector's Comments:

None

Required Action

Corrective Action Plan/Timeline

N/A

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 3

Command:	Division:	Chapter:
Gold Run	Valley	4
Inspected by: Officer Williams	. #12961	Date: 12/11/08

Appeal Process: (Appeals shall be filed within five (5) business days of	f the completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
N/A	
Lead Inspector's Signature:	Date: 12/11/08
Responding Commander's Signature (for appeal):	/2_/11/00 Date:
Trosponying Communication Signature (1997)	

Page 1 of 3

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

Command: Gold Run	Division: Valley	Number:
Evaluated by:		Date:
OFFICER D	· WILLIAMS	12-11-08
Assisted by:		Date:
VALAPLE M	MYNARD	12-10-08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Ins	pector's Sign	nature:	Wife in september 7 - VE DE
☐ Division Level	☐ Command Level				
Office of Inspections	☐ Voluntary Self-Inspect	ion F	Gange.	do	
Follow-up Requir	ed: No  Follow-Up Inspection		der's Signatu	ire:	Date:
		Sh		25	12/2/08
For applicable policies Manual (SAM), HPM 1 Chapter 2.	, refer to State Administrative 1.1, Chapter 4, and HPM 11.2,				
approving paper preparing collecti		⊠Yes	□ No	□ N/A	Remarks: The weekly transmittal is reviewed and signed by the commander.
Procedures (SOF for overall manag receiving and pre	nd have Standard Operating  ) to provide necessary guidelines ement and accountability of paring collections?	☐ Yes	⊠ No	□ N/A	Remarks: There is no SOP for guidelines. The appropriate manuals and job descriptions are followed for overall management and accountability of collections.
duties for collection		⊠ Yes	□No	□ N/A	Remarks: The OA is responsible for the collections and the cash receipt process. The OSS1 is responsible for the transmittals, except when she is absent.
duties for the cash	nd have adequate separation of receipt process?	⊠ Yes	□No	□ N/A	Remarks: Same as above.
restricted?	afe and/or vault appropriately	⊠ Yes	□No	□ N/A	Remarks: Yes, access to the cash box is limited to the OSS1 and the
to the safe and/or occur?	sts which identifies who has access vault and when changes in access	s 🛭 Yes	□ No	□ N/A	OA who are the only two with keys.  Remarks: Yes, when there is a new employee, a memo is created to reflect this change. A copy is sent to FMS to file.
number of employ combination, trans requires access?	oination changed when an excess ees were aware of the ferred out of the Area, or no longe	r Yes	□No	⊠ N/A	Remarks: The cash box has a key lock, and there are only 2 keys. The two keys are held by the OSS1 and OA.
8. Is the safe securely	y anchored to the building?	Yes	□No	⊠ N/A	Remarks: We do not have a safe, but the locked cash box is kept in a locking file cabinet.

### INSPECTION PROGRAM

Are weekly transmittal reports prepared in accordance with departmental policy?	⊠ Ye	es 🗆 No	o o	/A Remarks: Yes, a weekly transmittal
10. Is the weekly transmittal report(s) submitted to Fisca Management Section (FMS) within five working days following the week covered by the report?				Remarks: Yes, the weekly transmitt is submitted and a copy is kept in our
<ol> <li>Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>CHP 221, Malicious Damage Report.</li> <li>CHP 464, Traffic Control Cost Estimate – Advance Deposit.</li> <li>Civil subpoena.</li> </ol>	⊠ Ye	s 🗆 No	D N/	Tile.
12. Is a memorandum for cash shortages prepared if necessary?  13. Does the command arrange the inference of the command arrange that it is a single property of the comm	⊠ Yes	□No	□ N/A	Remarks: We have not had any cash shortages, but if we did, a memorandum would be prepared.
Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Vielander Vielander
14. Was a counter receipt issued for each witness fee deposit received?	Yes	□No	⊠ N/A	Remarks: No civil subpoenas have been received with more than one
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	□No	⊠ N/A	officer listed.  Remarks: These details have not
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□No	□ N/A	been handled in this area.  Remarks: A counter receipt is issued for each sale of reports and photos. In this area we do not sell the used items listed.
17. Is sales tax added to items that are not for resale?	☐ Yes	□No	⊠ N/A	Remarks: We do not sell those items in this area.
Are all counter receipts pre-numbered and issued in numerical sequence?  10. Ware transfer for the sequence in the sequence is a sequence in the sequen	⊠ Yes	□No	□ N/A	Remarks: Yes, the counter receipts were reviewed and they are prenumbered and issued in numerical
Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠ Yes	□No	□ N/A	Remarks: Yes, a CHP 266A was used when transferring DL 45's to Grass Valley area. Any other such transfers would also be reported on a CHP 266A.
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	⊠ No	□ N/A	Remarks: The STD 439 is not used in this area, and normally not used in field offices.

#### INSPECTION PROGRAM

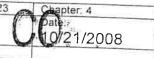
2	21 Are the CHP 264 Potty Cook Pontonial and		1		
	21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks: Yes, but only quarterly and on June 30 <sup>th</sup> of each fiscal year since this is a small area.
	2. Is the CHP 264 properly authorized?	⊠ Yes	□No	□ N/A	Remarks: Yes, the CHP 264 is properly authorized and a copy is kept on file.
	3. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks: Yes. It was last audited on 11/20/08 and prior to that on 8/18/08.
	4. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks: The quarterly audits are documented and the last unannounced audit on 8/18/08 was also documented.
	5. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	□No	□ N/A	Remarks: We have not had any overages or shortages, but if we do in the future, it will be reported to Fiscal Management Section.
	Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks: No, this is against policy and is not done in this area.
	. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□ No	□ N/A	Remarks: Yes, the petty cash funds are not over \$200.00, and they are kept in a locked cash box stored in a file cabinet which is locked after business hours. The change funds are not over \$20.00 and are in a non-locking cash box which is kept in a file cabinet which is locked after business hours.
	Are all petty cash purchases under \$50?	⊠ Yes	☐ No	□ N/A	Remarks: Yes, all petty cash purchases are under \$50.00.
	Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks: No, petty cash is not used
	Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	to purchase prohibited items.  Remarks: No, this is not done here.
31.	Is a petty cash custodian designated by the commander?	⊠ Yes	□ No	□ N/A	Remarks: Yes, the commander designated the OSS, Val, as the petty cash custodian.

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command Suggestions for Statewide Improvement:

Command:VALLY Division: DPIF 223 Inspected by:

Sergeant Bousquet



improvement, identified deficience additional space is required.  TYPE OF INSPECTION  Division Level X Comman	ies, corrective action plans, a	opriate boxes as necessary, or fill in the blanks as indicated. EUnder "Forward to:" enter the next level of command where the tilized to document innovative practices, suggestions for state and may be used to appeal findings. A CHP 51 Memorandum  Corrective Action Plan Included  Appeal Included  Attachments Included	wide may be used it
Follow-up Required:	Forward to:	Commander's Signature: Dat	e:
☐ Yes X No	Due Date:	- Will Well LT.	1/14/0R
Chapter Inspection:			
nspector's Comments Re	garding Innovative Pr	ractices:	(All man la

Inspector's Findings:

Donner Pass Inspection Facility (DPIF) is a Commercial Facility staffed with only one clerical position, an Office Services Supervisor I (OSSI). A half-time Office Assistant (OA) position was not replaced approximately 5 years ago when the employee moved out of the state. Our OSSI is the sole person who collects and processes all required forms and reports. The transmittals are prepared and then approved by the Commander. Once a half or full time office assistant position is assigned to the facility the issue of Separation of Duties will be eliminated.

DPIF does not have a Change Fund nor does it sell items to the public such items as tires or unclaimed evidence items. An occasional Civil Subpoena is received and a transmittal is completed.

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: DPIF 223	Division:VALLEY	Chapter: 4
Inspected by: Sergeant Bou	squet	Date: 10/21/2008

Page 2	Sergeant Bousquet	Date:
	congeant bousquet	10/21/2008
Commander's Response:		
DPIF is currently conducting but	in court	
(if) DPIF receives approval to fill the va to comply with the SAM manual.	in compliance with departmental policies an ecant half-time office assistant position, we v	nd procedures. When will separate the duties
Inspector's Comments:		
9	143	
Required Action	。 《新年》1967年,《新典》2012年(1962年)(1962年)1962年(1962年)	The state of the s
Corrective Action Plan/Timeline		2000年1月1日 · 1000年1月1日 · 1000年1月1日 · 1000年1月1日 · 1000年1日

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: DPIF 223	Division: VALLEY	Chapter: 4
Inspected by: Sergeant Bou	squet	Date: 10/21/2008

Appeal Process: ( Commander's Bas	sis for Appeal:	er serve alle se provi			PARIENT
				41	
appeal Review/Dec	ision: IThis shall I	ho 4h 1	e conseque		
	This shall	be the only level of a	ppeal).		
d Inspector's Signature:					
a mopecion's aignature:	1 Bours	ruef	D	ate: 0/21/2008	
nondina Commando do CX	atuta /fax assault	9551 D.C. 4			
sponding Commanders Signa	arnie (tot slebest)	<b>—</b>	10	ate: /	 

### INSPECTION PROGRAM

Chapter 4. Fiscal Controls

Command: Division: VALLEY: DPIF		Number:
Evaluated by: Sergeant L. Bousquet		Date: 10/21/2008
Assisted by: R. Masterson		Date: 10/21/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

7	TYPE OF INSPECTION		l ead Inc	pector's Sign	oturoi	
	Division Level	X Command Level	Lead IIIs		1	$\mathcal{Q}$
	Office of Inspections	☐ Voluntary Self-Inspection		ll!	Sour	
	Follow-up Required:  Yes x No	☐ Follow-Up Inspection	Comman	der's Signatu	re: Ves	Date: 3/9/09
	For applicable policies, refer Manual (SAM), HPM 11.1, C Chapter 2.	hapter 4, and HPM 11.2,				7 770
	approving paperwork re preparing collections?		X Yes	□No	□ N/A	Remarks:
	receiving and preparing	ovide necessary guidelines and accountability of collections?	☐ Yes	□No	X N/A	Remarks: SEE REMARKS, PAGE 3
	<ul><li>3. Does the command have duties for collections rec</li><li>4. Does the command have</li></ul>	eived?	☐Yes	□No	X N/A	Remarks: SEE REMARKS, PAGE 3
	duties for the cash receip	ot process?	Yes	☐ No	X N/A	Remarks: SEE REMARKS, PAGE 3
-	restricted?		☐ Yes	. □ No	X N/A	Remarks: SEE REMARKS, PAGE 3
	to the safe and/or vault a occur?	ch identifies who has access and when changes in access	☐ Yes	□ No	X N/A	Remarks: SEE REMARKS, PAGE 3
	number of employees we combination, transferred requires access?	out of the Area, or no longer	☐ Yes	□ No	X N/A	Remarks: SEE REMARKS, PAGE 3
	8. Is the safe securely anch	_	☐ Yes	□No	X N/A	Remarks: SEE REMARKS, PAGE 3
	<ol><li>Are weekly transmittal repartments</li></ol>	ental policy?	X Yes	□ No	□ N/A	Remarks:
	<ol><li>Is the weekly transmittal r</li></ol>	eport(s) submitted to Fiscal	X Yes	□No	□ N/A	Remarks:

### INSPECTION PROGRAM

11. Does the command submit the following forms				
(1) CHP 265, Sale of Discarded Tires/Junk	X Ye	s D	10   N	/A Remarks:
(2) CHP 36, Evidence/Property Receipt/Poport				
(Onciding Property)				
(3) STD 634, Absence and Additional Time Worker Report, for jury duty.	d			
(4) CHP 221, Malicious Damage Roport				
(3) CFF 464, Framic Control Cost Estimate				
Advance Deposit				
(6) Civil subpoena			1	1
12. Is a memorandum for cash shortages prepared if				
110003381 / 1	X Yes	i □ No	D N/A	Remarks:
13. Does the command ensure the information written o	n		- INV	
the counter receipt is complete and legible?	X Yes	□ No	N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?				
15. Was a counter receipt issued for each movie,	X Yes	☐ No	N/A	Remarks:
wide-load, and special event detail/s/2		<u></u>		
10. Was each counter receipt issued for each sale	Yes	☐ No	X N/A	Remarks:
including the sale of discarded tires, junk batteries	Yes		V NVA	Remarks:
Lasco rotors, and other cash received?	1 - 163	☐ No	X N/A	Terrains.
17. Is sales tax added to items that are not for resale?				
	Yes	☐ No	X N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?				
19. Were transfers of counter receipt books/certificates	X Yes	☐ No	□ N/A	Remarks:
between field commands reported on a CHP 266A,	V V			
Oreatt Metrio - Non- Entitlement?	X Yes	☐ No	□ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly				
authorized and completed to support ovponditure of	X Yes	□ No		Remarks:
21. Ale tile CRP 204. Petty Cash Replenishment	X 163	☐ No	N/A	rtemarks.
Neguesis, completed at least monthly if over \$40.00	Yes	X No	□ N/A	Remarks: Yearly on June 30,
quarterly if under \$10.00, and on June 30 of each fiscal year?				monthly replenishment is not
22. Is the CHP 264 properly authorized?			-	practical
	l I			
23. Does the total amount of cash, receipts on hand, and	X Yes	☐ No	□ N/A	Remarks:
receipts in transit equal the total of petty cash and	X Yes	Γ¬		Description
Criange lungs?	A res	☐ No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of				
petty cash and change funds performed by the	X Yes	☐ No	□ N/A	Remarks:
Confinialities of designated person?	+		LJ IWA	
Are overages and shortages of the petty cash funds reported to Fiscal Management Section?				
	X Yes	☐ No	□ N/A	Remarks:

### INSPECTION PROGRAM

Chapter 4 Fiscal Controls

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	T	1		
27. Are change funds over \$400	☐ Yes	□ No	X N/A	Remarks: SEE REMARKS, PAGE 3
over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?  28. Are all petty cash purchases under \$50?	☐ Yes	□ No	X N/A	Remarks: SEE REMARKS, PAGE 3
29. Is petty cash used to purchase prohibited items?	X Yes	☐ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	Yes	X No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	☐Yes	X No	□ N/A	Remarks:
and i	X Yes	□No	□ N/A	Remarks:

#### REMARKS:

Donner Pass Inspection Facility (DPIF) is a Commercial Facility staffed with only one clerical position, an Office Services Supervisor I (OSSI). A half-time Office Assistant (OA) position was not replaced approximately 5 years ago when the employee moved out of the state. Our OSSI is the sole person who collects and processes all required forms and reports. The transmittals are prepared and then approved of Separation of Duties will be eliminated.

)PIF does not have a Change Fund nor does it sell items to the public such items as tires or unclaimed vidence items. An occasional Civil Subpoena is received and a transmittal is completed.

### COMMAND INSPECTION PROGRAM

		AUD' 12738 W W
Command:	Division:	Chapter:
Chico Area	Valley	4
Inspected by:		Date:
Captain D. S.	Gillingwater	12/3/2008

**EXCEPTIONS DOCUMENT** 

number of the inspection in the Chapte	r Inspection number. Under Fo	oxes as necessary, or fill in the blanks as indicat rward to:" enter the next level of command whe document innovative practices, suggestions for the used to appeal findings. A CHP 51 Memoral	statewide
TYPE OF INSPECTION		Corrective Action Plan Included	
☐ Division Level ☐ Command L	evel	Appeal Included	
Executive Office Level		Attachments Included	
Follow-up Required:	Forward to: Valley Division	Commander's Signature:	Date: 12/03/2008
☐ Yes	Due Date: <u>12/31/2008</u>	06411-10	
Chapter Inspection:		one and entering the second	
Inspector's Comments Regar	ding Innovative Practice	es:	
No innovative processes are simplified manner.	implemented at the com	mand. All processes are completed	d in a very
			4:
Command Suggestions for St	tatewide Improvement:		
None			e se
Inspector's Findings:	, , , , , , , , , , , , , , , , , , ,	×	
No discrepancies were found			,1

Corrective Action Plan/Timeline

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command:	Division:	Chapter:		
Chico Area Valley		4		
Inspected by:		Date:		
Captain D. S. Gillingwater		12/03/2008		

Commander's Response:			
All inspected items were being p	processed according to dep	partmental policy.	
Inspector's Comments:			
Same as above.			
	s. N. Polonia (Inches and America)		Sur Light Report
Required Action		<b>海海峡中间。16</b> 00年李珠城中心地	Kilonen - Raffit

N/A

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: Chico Area	Division: Valley	Chapter:
Inspected by: Captain D. S. G		Date: 12/03/2008

Page 5	
Appeal Process: (Appeals shall be filed within five (5) business day	s of the completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
NA	
Appeal Review/Decision: (This shall be the only level of appeal).	
Appear Review/Decision: (////o cital 1555)	
	× o
	4.4
:	
Leed Inspector's Signature:	Date: 12/03/2008
Responding Commander's Signature (for appeal):	Date:

### INSPECTION PROGRAM

Chapter 4 Fiscal Controls

Command: Chico Area	Division: Valley	Number: 241-06-08		
Evaluated by: Captain D: S. Gillingwater		Date: 12/03/2008		
Assisted by:		Date:		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Giscrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.						
	Lead Inspec	ctor's Signatur	re:			
TYPE OF INSPECTION		$\sim$ 1 $\vee$				
☐ Division Level ☐ Command Level		$2\Delta I$	1			
Office of Inspections Voluntary Self-Inspection		alà Cimdaturo	1000	Date:		
Follow-up Required:  Yes No Follow-Up Inspection	commente	r'à Signature.		12/03/2008		
For applicable policies, refer to State Administrative			' (			
Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2,				$\bigcirc$		
Chapter 2				Remarks; All paperwork is reviewed		
<ol> <li>Is management actively involved in reviewing and approving paperwork related to receiving and</li> </ol>	⊠ Yes	□No	□ N/A	and approved by the commander.		
preparing collections?  2. Does the command have Standard Operating Procedures (SOP) to provide necessary guidelines for overall management and accountability of	⊠ Yes	□No	□ N/A	Remarks: These items are included in the duty statements that are included in the S.O.P.		
receiving and preparing collections?  3. Does the command have adequate separation of	⊠ Yes	□No	□ N/A	Remarks: There is adequate separation for a small command.		
duties for collections received?  4. Does the command have adequate separation of	⊠ Yes	□No	□ N/A	Remarks: There is adequate separation for a small command.		
duties for the cash receipt process?  5. Is access to the safe and/or vault appropriately restricted?	☐ Yes	□ No	⊠ N/A	Remarks: The command does not have a safe or vault. A locked cash box is used.		
Does a record exists which identifies who has access to the safe and/or vault and when changes in access	☐ Yes	□No	⊠ N/A	Remarks: No safe or vault.		
occur?  7. Was the lock combination changed when an excess number of employees were aware of the combination, transferred out of the Area, or no longer	☐ Yes	☐ No	⊠ N/A	Remarks: The cash box is locked by a key. Only clerical has a key.		
requires access?  8. Is the safe securely anchored to the building?	Yes	□No	⊠ N/A	Remarks: No safe or vault		
9 Are weekly transmittal reports prepared in		□No	□ N/A	Remarks:		
accordance with departmental policy?  10. Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days following the week covered by the report?		□ No	□ N/A	Remarks:		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

### INSPECTION PROGRAM

<ul> <li>11. Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>(1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>(2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>(3) STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>(4) CHP 221, Malicious Damage Report.</li> <li>(5) CHP 464, Traffic Control Cost Estimate – Advance Deposit.</li> <li>(6) Civil subpoena.</li> </ul>	⊠ Yes	□ No	□ N/A	Remarks: Yes in every case.
12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	□No	□ N/A	Remarks: Occurred once, over a year ago where a check was mailed in thot did not include the full amount.
13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries,	⊠ Yes	☐ No	□ N/A	Remarks:
used rotors, and other cash received?  17. Is sales tax added to items that are not for resale?	⊠ Yes	☐ No	□ N/A	Remarks: Yes, for publications.
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	☐ No	□ N/A	Remarks:
<ol> <li>Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A,</li> </ol>	⊠ Yes	□No	□ N/A	Remarks:
Credit Memo - Non- Equipment?  20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠ Yes	□No	□ N/A	Remarks: Yes, used for money orders.
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	⊠ Yes	□ No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	☐ No	□ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐ Yeis	□No	⊠ N/A	Remarks: Have not had any.

### INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest	⊠ Yes	☐ No	□ N/A	Remarks:
adequate to safeguard cash?  28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	Yes	⊠ No	□ N/A	Remarks: Remarks: OSSI Pam Miller
31. Is a petty cash custodian designated by the	⊠ Yes	☐ No	□ N/A	

### COMMAND INSPECTION PROGRAM

### EXCEPTIONS DOCUMENT

CANS	original to cots		_
Command:	Division: Valley	Chapter:	
Auburn Inspected by: Sergeant Doug	Milligan, #14884	Date: 2/13/09	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

shall be routed to and its due date. improvement, identified deficiencies additional space is required.	, corrective action plans, and ma		
TYPE OF INSPECTION  Division Level	Forward to: Valley Division  Due Date: 12/31/08	Corrective Action Plan Inc  Appeal Included  Attachments Included  Commander's Signature:	Date: 2/18/09
None.			,
Command Suggestions fo	r Statewide Improvemen	ıt:	
None.			

Inspector's Findings:

In response to a Comm-Net Message dated September 22, 2008, the Auburn Area conducted a comprehensive evaluation of the Command's fiscal controls to ensure compliance with departmental policy. No discrepancies were noted.

The following documents were completed as part of this inspection:

- Exceptions Document
- Fiscal Controls Inspection Document

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division: Valley	Chapter: 3	
Auburn Inspected by: Sergeant Doug	Milligan, #14884	Date: 2/13/09	

Page 2

Commander's Response:		

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

N/A

### COMMAND INSPECTION PROGRAM

### **EXCEPTIONS DOCUMENT**

Command: Auburn	Division: Division	Chapter: 3	
Inspected by:	Milligan, #14884	Date: 2/13/09	

Page 3

Appeal Process: (Appeals shall be filed within five (5) business days	of the completed chapter inspe	Cuony: poly (rex) odeas are
Commander's Basis for Appeal:		
N/A		
	ŭ.	
		. *
Appeal Review/Decision: (This shall be the only level of appeal).		X
Appeal Neview/Decision: (17/13 shall 20 the chil)		
N/A		
		(a)
	8	
Lead Inspector's Signature:    New 1647	Date: 2/18/09	
Responding Commander's Signature (for appeal):	Date:	



#### INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: Auburn	Division: Valley	Number: 220		
Evaluated by: Sgt. Milligan		Date: 2/13/2009		
Assisted by: Shelley Daly		Date: 2/13/2009		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead hispector's Signature.					
☐ Di	ivision Level	Command Level	D. Milli					
☐ O1	ffice of Inspections							
F	ollow-up Required: ☐ Yes	Follow-Up Inspection	Command	er's Signature	Č	2/18/09		
Manu Chap	applicable policies, refer to ual (SAM), HPM 11.1, Ch oter 2.	apter 4, and HPM 11.2,				,		
	Is management actively in approving paperwork relatively preparing collections?	ated to receiving and	⊠ Yes	□No	□ N/A	Remarks:		
2.	Procedures (SOP) to provious for overall management a receiving and preparing c	vide necessary guidelines and accountability of collections?	⊠ Yes	□No	□ N/A	Remarks: In clerical's "Desk Procedures" manual.		
3.	Does the command have duties for collections rece	ived?	∑ Yes	□No	□ N/A	Remarks:		
4.	duties for the cash receipt	process?	⊠ Yes	□ No	□ N/A	Remarks:		
- 5.	restricted?		⊠ Yes	☐ No	□ N/A	Remarks:		
6.	to the safe and/or vault ar occur?	ch identifies who has access and when changes in access	⊠ Yes	□ No	□ N/A	Remarks:		
7.	number of employees we combination, transferred or requires access?	out of the Area, or no longer	☐ Yes	□No	⊠ N/A	Remarks: Keys are accounted for & re-assigned as needed.		
8.	- A	3	☐ Yes	☐ No	⊠ N/A	Remarks:		
9.	accordance with departme	ental policy?	⊠ Yes	∐ Ńoʻ	□ N/A	Remarks:		
10		eport(s) submitted to Fiscal (S) within five working days d by the report?	⊠ Yes	☐ No	□ N/A	Remarks:		

#### **INSPECTION PROGRAM**

	44 D				
	11. Does the command submit the following forms with the weekly transmittal when applicable?		☐ No	□ N/A	Remarks:
	(1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.				
	(2) CHP 36, Evidence/Property Receipt/Report				
	(Unclaimed Property).				
1	(3) STD 634, Absence and Additional Time Worked				
	Report, for jury duty.		1		
	(4) CHP 221, Malicious Damage Report.				
	(5) CHP 464, Traffic Control Cost Estimate –				
	Advance Deposit.				
	(6) Civil subpoena.				
1	2. Is a memorandum for cash shortages prepared if				
	necessary?		☐ No	□ N/A	Remarks: No shortages
1	3. Does the command ensure the information written on				
	the counter receipt is complete and legible?		☐ No	☐ N/A	Remarks:
1	4. Was a counter receipt issued for each witness fee			1_	Paras de la constante de la co
<b>-</b>	deposit received?		☐ No	□ N/A	Remarks:
1	5. Was a counter receipt issued for each movie,			S	Remarks:
1	wide-load, and special event detail(s)?  6. Was each counter receipt issued for each sale,	Yes	☐ No	⊠ N/A	remarks.
	including the sale of discarded tires, junk batteries,	⊠ Yes	□No	□ N/A	Remarks:
	used rotors, and other cash received?			I I IN/A	Traine.
1	7. Is sales tax added to items that are not for resale?				
	. To called tax added to forme that are not for recode:	Yes	□No	⊠ N/A	Remarks:
1	8. Are all counter receipts pre-numbered and issued in			Z	
	numerical sequence?		☐ No	□ N/A	Remarks:
1!	9. Were transfers of counter receipt books/certificates				
	between field commands reported on a CHP 266A,	⊠ Yes	☐ No	□ N/A	Remarks:
	Credit Memo - Non- Equipment?				
- 20	). Is the STD 439, Disbursement Voucher, properly				
	authorized and completed to support expenditure?		☐ No	□ N/A	Remarks:
2	1. Are the CHP 264, Petty Cash Replenishment			_	Remarks:
	Requests, completed at least monthly if over \$10.00,	⊠ Yes	☐ No	□ N/A	Remarks;
	quarterly if under \$10.00, and on June 30 of each				
2'	fiscal year? 2. Is the CHP 264 properly authorized?				
22	. Is the Otte 204 property authorized?	⊠ Yes	□No		Remarks:
2:	B. Does the total amount of cash, receipts on hand, and	M res	NO	□ N/A	. toritaria.
20	receipts in transit equal the total of petty cash and	⊠ Yes	□No	□ N/A	Remarks:
16	change funds?	Z 103			
24	. Is there documentation to support periodic reviews of				
	petty cash and change funds performed by the	⊠ Yes	☐ No	□ N/A	Remarks:
	commander or designated person?	3			
25	. Are overages and shortages of the petty cash				
	funds reported to Fiscal Management Section?	⊠ Yes	☐ No	□ N/A	Remarks:

### **INSPECTION PROGRAM**

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?		□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

### COMMAND INSPECTION PROGRAM FXCEPTIONS DOCUMENT

		1 . 6
Command:	Division:	Chapter
Amador (295)	Valley	4
Inspected by:		Date:
Lieutenant B. Kynaston/#12996		12/03/2008

Page 1 of 3

number of the inspection in the Chap	eter Inspection number. Under Fo	oxes as necessary, or fill in the blanks as indicated. Enter the chapter ward to: enter the next level of command where the document document innovative practices, suggestions for statewide be used to appeal findings. A CHP 51 Memorandum may be used if			
TYPE OF INSPECTION		Corrective Action Plan Included			
☐ Division Level ☐ Command	Level	Appeal Included			
☐ Executive Office Level		Attachments Included – Inspection Check List			
Follow-up Required:	Forward to: Valley Division Due Date:	Commander's Signature: Date:			
Chapter Inspection: Inspector's Comments Reg	arding Innovative Practice				
None.	· · · · · · · · · · · · · · · · · · ·				
Command Suggestions for	Statewide Improvement:				
None.		a			
Inspector's Findings:					

### Introduction

In response to a Comm-Net Message, dated September 22, 2008, the Amador Area conducted a comprehensive evaluation of the Command's fiscal controls to ensure compliance with departmental policy. As part of the evaluation, the inspection team looked at all records and documentation relative to the fiscal components of the Command, including duties, transmittals, petty cash, and counter receipts. This team was comprised of Lt. B. Kynaston (#12996), Amador Area, and OSS I Jennifer Geraurd (#A8329), Amador Area. The inspection team began the inspection on December 3, 2008, at 0900 hours, and completed the inspection on the same day.

The following documents were completed as part of this inspection:

- Exceptions Document
- Fiscal Controls Inspection Checklist

#### **Prior Audits**

The last prior audit of these processes was completed by Valley Division on April 24, 2000.

### COMMAND INSPECTION PROGRAM

_			
EXCEP	TIONS	DOCL	JMENT

Command: Amador (295)	Division: Valley	Chapter: 4
Inspected by: Lieutenant B. Kyn		Date: 12/03/2008

Page 2 of 3

#### Summary of Findings

There was only one discrepancy noted during the inspection. The following discrepancy, along with the corresponding checklist item number, was noted:

 Item 2: The current Area Standard Operating Procedures (SOP) does not contain necessary guidelines for the overall management and accountability of receiving and preparing collections. The Area SOP is currently under revision.

All other documentation and processes appear to be in compliance with departmental policy and procedures, as well as with legal statutes.

Commander's Response:

The Amador Area Commander has already ensured that the current on-going revision of the Area SOP will contain necessary guidelines for the overall management and accountability of receiving and preparing collections.

Inspector's Comments:

The inspector feels that the aforementioned action by the Amador Area has addressed the identified discrepancy.

Required Action

Corrective Action Plan/Timeline

None.

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

Commander's Basis for Appeal:

N/A

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Amador (295)	Division: Valley	Chapter: 4
Inspected by: Lieutenant B. Kyr	naston/#12996	Date: 12/03/2008

Page 3 of 3

Appeal Review/Decision:	(This shall be the only level of appeal).	
N/A		18

Lead Inspector's Signature:	Date: 12/03/2008	
Responding Commander's Signature (for appeal):	Date:	

### INSPECTION PROGRAM

Command:	Division:	Number:
Amador	Valley	295
Evaluated by:		Date:
Lieutenant B. Kynaston/#12996		12/03/2008
Assisted by:	er Geraurd/#A8329	Date: 12/03/2008

		13	97160	Aleetod A	ny diegrana	ncies with policy
INSTRUCTIONS: Answer individual items with "Ye applicable legal statues, or deficiencies noted in the discrepancies and/or deficiencies shall be docume Furthermore, the memorandum shall include any fithe "Follow-up Inspection" box shall be marked an	nted on an Exception	ns Documer ective action s need to be	nt and addre n(s) taken. I re-inspecte	essed to the f this form i	novi level (	or commission.
MIVE INTERTOGRAPHE NO. 1		Lead Inspec	tor's Signatur	e:		
TYPE OF INSPECTION		1	) 1	1		
☐ Division Level ☐ Comman	d Level	K	1/1		- La sange	
Office of Inspections Voluntar	y Self-Inspection	9/	's Signature:			Date:
Follow-up Required:  Yes No	v-Up Inspection	Commanagi	S Signature.		<b></b>	12/3/08
For applicable policies, refer to State Adr Manual (SAM), HPM 11.1, Chapter 4, an	ninistrative d HPM 11.2,					-
1. Is management actively involved in rapproving paperwork related to receive	eviewing and iving and	⊠ Yes	□No	□ N/A	Remarks:	
preparing collections?  2. Does the command have Standard Comprocedures (SOP) to provide necess for overall management and account	tability of	☐ Yes	⊠ No	□ N/A	under revisi	The Area SOP is currently on. Commander will revision includes these
receiving and preparing collections?  3. Does the command have adequate s	separation of	⊠ Yes	□No	□ N/A	Remarks:	
duties for collections received?  4. Does the command have adequate some control of the control	separation of	⊠ Yes	□No	□ N/A	Remarks:	
duties for the cash receipt process?  5. Is access to the safe and/or vault ap restricted?	propriately	Yes	□ No	⊠ N/A	Remarks: A	Area does not have a safe
6. Does a record exists which identifies who has access to the safe and/or vault and when changes in access		Yes	□No	⊠ N/A	Remarks: A or a vault.	Area does not have a safe
7. Was the lock combination changed when an excess number of employees were aware of the combination, transferred out of the Area, or no longer		Yes	□ No	⊠ N/A	Remarks: A or a vault.	Area does not have a safe
requires access?  8. Is the safe securely anchored to the	building?	Yes	□No	⊠ N/A	Remarks: .	Area does not have a safe
Are weekly transmittal reports preparactions accordance with departmental policity.	ared in v?	⊠ Yes	☐ No	·□ N/A	Remarks:	
10. Is the weekly transmittal report(s) so Management Section (FMS) within to following the week covered by the re	five working days	⊠ Yes	□ No	□ N/A	Remarks:	

### INSPECTION PROGRAM

<ol> <li>Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>CHP 221, Malicious Damage Report.</li> <li>CHP 464, Traffic Control Cost Estimate – Advance Deposit.</li> <li>Civil subpoena.</li> </ol>	⊠ Yes	No	□ N/A	Remarks:
12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	□No	□ N/A	Remarks: This has never been an issue in the Area.
13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	☐ No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?		□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?		□No	□ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?		☐ No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠ Yes	□No	⊠ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?		□No	□ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	∏ No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	⊠ Yes	☐ No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	☐ No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	□No	□ N/A	Remarks: This has never been an issue in the Area.

### INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□ No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	□Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by	□Yes	⊠ No	□ N/A	Remarks:
splitting the purchase?  31. Is a petty cash custodian designated by the commander?	⊠Yes	☐ No	□ N/A	Remarks: OA Vicki Hysell/#A9411 has been designated the Petty Cash Custodian for Area.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

		3 04 64 8	
Command:	Division:	Chapter	
ISU	VALLEY	4	
Inspected by:		Date:	
R. LINSON		12/19/2008	×

INSTRUCTION: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.			
TYPE OF INSPECTION	0		FI
☐ Division Level ☒ Command	Level	Appeal Included	
Executive Office Level		│ ☑ Attachments Included	
Follow-up Required:	Forward to:	Commander's Signature:	Date:
▼ Yes  No	Due Date: 1/30/01	R. Zinsan	1/21/09
Chanter Inspection			e vaste animiera (v. 1945
Chapter Inspection:			
Inspector's Comments Rega	rding Innovative Practice	es:	
None.			
Command Suggestions for S	Statewide Improvement:		
Name of the state			
None.			
Inspector's Findings:			

#### Introduction

Pursuant to HPM 22.1, Chapter 1, Valley Division Investigative Services Unit conducted a Chapter 4 inspection, Fiscal Controls. This inspection evaluated the units confidential informant safe and the procedures controlling its access. The inspection was conducted utilizing the inspection checklist found in HPM 22.1, Chapter 4, Annex A.

The following documents were completed as part of this inspection: Exceptions Document Fiscal Controls checklist Confidential Informant Fund Audit Report

#### **Prior Audits**

There were no prior audits on file relative to HPM 22.1; however, HPM 81.1, Vehicle Theft Control Manual requires a monthly audit. The monthly audits are on file. The last audit memorandum is attached.

### COMMAND INSPECTION PROGRAM

**EXCEPTIONS DOCUMENT** 

Page 2

Command:	Division: VALLEY	Chapter:
Inspected by: R. LINSON	1.	Date: 12/19/2008

Findings

The State Administrative Manual requires the safe to be securely anchored to the building. The ISU confidential informant fund safe was not secured to the building. In fact, the safe is on wheels.

Commander's Response:

The ISU safe will be securely anchored to the building.

Inspector's Comments:

#### Required Action

#### Corrective Action Plan/Timeline

The current ISU safe does not have pre-drilled holes to accommodate securing the safe to the building. ISU has contacted Facilities Section to explore the options of drilling through the safe or to weld brackets to the safe that could be bolted to the building wall. If these options are not feasible, ISU will be required to purchase a new safe to comply with policy.

ISU will complete securing the safe to the facility by the end of January, 2009.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PRO

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:	
Inspected by:		Date:	

Page 3

Appeal Process:	(Appeals shall be filed within five (5) business days of the completed chapter inspection).	
Commander's Ba	sis for Appeal:	_

Appeal Review/Decision: (This shall be the only level of appeal).

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROG

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:

#### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

Command	Division:	Number;
ISU	VALLEY	
Evaluated by:		Date:
R. LINSON		12/09/2008
Assisted by:		Date:
K. CASHDOLLAR		12/09/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF	INSPECTION		Lead Inspe	ector's Signati	ıre:	
☐ Div	ision Level				8	
Off	ice of Inspections	☐ Voluntary Self-Inspection	$\mathcal{R}$	Sin	rso-	·
	ollow-up Required: Yes	☐ Follow-Up Inspection	Commando R.	er's Signature	san	Date: 1/21/09
	al (SAM), HPM 11.1, C	to State Administrative hapter 4, and HPM 11.2,				7
1.	Is management actively approving paperwork re preparing collections?	involved in reviewing and elated to receiving and	☐ Yes	□No	⊠ N/A	Remarks:
2.		ovide necessary guidelines t and accountability of	☐ Yes	□No	⊠ N/A	Remarks:
3.	duties for collections red		☐ Yes	□No	⊠ N/A	Remarks:
4.	duties for the cash recei		☐ Yes	☐ No	N/A [☑	Remarks:
5.	Is access to the safe an restricted?			☐ No	□ N/A	Remarks:
6.		nich identifies who has access and when changes in access	⊠ Yes	☐ No	□ N/A	Remarks:
	number of employees w combination, transferred requires access?	d out of the Area, or no longer	⊠ Yes	□No	□ N/A	Remarks:
8.	Is the safe securely and	hored to the building?	☐ Yes	<b>⊠</b> No	□ N/A	Remarks: OH WHEELS
9.	accordance with departr	mental policy?	☐ Yes	□ No ·	⊠ N/A	Remarks:
10.		report(s) submitted to Fiscal MS) within five working days red by the report?	☐ Yes	□No	⊠ N/A	Remarks:

#### **INSPECTION PROGRAM**

Chapter 4 Fiscal Controls

	<ul> <li>11. Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>(1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>(2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>(3) STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>(4) CHP 221, Malicious Damage Report.</li> <li>(5) CHP 464, Traffic Control Cost Estimate — Advance Deposit.</li> <li>(6) Civil subpoena.</li> </ul>	☐ Yes	□ No	N/A N/A	Remarks
	12. Is a memorandum for cash shortages prepared if necessary?	☐ Yes	□No	⊠ N/A	Remarks:
	13. Does the command ensure the information written on the counter receipt is complete and legible?	☐ Yes	□No	⊠ N/A	Remarks:
	14. Was a counter receipt issued for each witness fee deposit received?	☐ Yes	☐ No	□ N/A	Remarks:
	15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	□No	N/A	Remarks:
	16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	□No	⊠ N/A	Remarks:
	17. Is sales tax added to items that are not for resale?	☐ Yes	☐ No	⊠ N/A	Remarks:
	18. Are all counter receipts pre-numbered and issued in numerical sequence?	☐ Yes	☐ No	X N/A	Remarks:
	19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	☐ No	⊠ N/A	Remarks:
ľ	20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	□No	⊠ N/A	Remarks:
	21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	☐ Yes	□ No	⊠ N/A	Remarks:
	22. Is the CHP 264 properly authorized?	☐ Yes	□No	⊠ N/A	Remarks:
	23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	☐ Yes	□No	Ø N/A	Remarks:
	24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	☐ Yes	□No	X N/A	Remarks:
	25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐ Yes	☐ No	⊠ N/A	Remarks:

#### **INSPECTION PROGRAM**

Chapter 4 - • Fiscal Controls

26. Were change funds used to orders or cashier/travelers or		☐ Yes	☐ No	⊠ N/A	Remarks:
27. Are change funds over \$100 over \$200 kept in a safe, value adequate to safeguard cash	and petty cash funds oult, or money chest	☐ Yes	□ No	X N/A	Remarks:
28. Are all petty cash purchase		☐ Yes	. □ No	ĭ N/A	Remarks:
29. Is petty cash used to purcha	ase prohibited items?	Yes	□No	⊠ N/A	Remarks:
30. Did the command circumve splitting the purchase?	nt the dollar limitation by	☐ Yes	□No	⊠ N/A	Remarks:
31. Is a petty cash custodian de	esignated by the	Yes	□No	⊠ N/A	Remarks:

### COMMAND INSPECTION PROGRAM

tard a	1 1 1 1 1	NON
Command: Valley	Division: Valley	Chapler:
Inspected by: Linda Cortez,	OSSI	Date: 3/20/09

**EXCEPTIONS DOCUMENT** 

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if

additional space is required.					
TYPE OF INSPECTION		Corrective Action Plan Included			
☐ Division Level ☐ Command Level		Appeal Included			
Executive Office Level	•	Attachments Included			
Follow-up Required:	Forward to:	Commander's Signature:	Date:		
☐ Yes	Due Date:	Dalh	3/25/01		
Chapter Inspection:					
Inspector's Comments Rega	rding Innovative Practice	es:			
None					
Command Suggestions for Statewide Improvement:					
None					
Inspector's Findings:					

Pursuant to HPM 22.1, Chapter 1, Valley Division conducted a Chapter 4 inspection, Fiscal Controls. The finding of this inspection is that Valley Division is compliant with the Departments policies and procedures in this area.

The following document was completed as part of this inspection: Exceptions document Fiscal controls checklist

#### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT Page 2

Command: Division: Chapter:

Valley
Inspected by:

Linda Carke OSS T 3/20/09

O Pochonea	11	
Commander's Response:		

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command:	Division:	Chapter:
Inspected by:	1	Date: 3-20-09

	leted abapter inspection
Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter mapections.
Commander's Basis for Appeal:	
Commander a Basis ici Appean	
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	g.
Appeal Review/Decision: (This shall be the only level of appeal).	
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	20 E
Lead Inspeator's Signature:	Date:
Duck	3/20/09
Responding Commander's Signature (for appeal):	Date:

ge 1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: Division: Valley		Number: 201		
Evaluated by: Linda Cortez, OSSI Assisted by:		Date: 03/20/2009 Date:		

INSTRUCTIONS: Answer individual items with "Yes" or "No" applicable legal statues, or deficiencies noted in the inspection discrepancies and/or deficiencies shall be documented on an Furthermore, the memorandum shall include any follow-up and the "Follow-up Inspection" box shall be marked and only defice	Exception d/or corrections items	ns Documer ective action need to be	nt and addre (s) taken. It re-inspecte	essed to the f this form in d.	novt love	ot command.
		Lead inspec	tor's Signatur	e:		
TYPE OF INSPECTION				P	- 111-111-111-111	
☐ Division Level ☐ Command Level			8 2	Tu	-3	
☐ Office of Inspections ☐ Voluntary Self-Inspection		Commande	's Signature	7		Date:
Follow-up Required:  Yes No Follow-Up Inspe					3/25/09	
For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 1. Chapter 2.	. ()					
Is management actively involved in reviewing a approving paperwork related to receiving and preparing collections?	and	☐ Yes	□No	⊠ N/A	Remarks:	
Does the command have Standard Operating     Procedures (SOP) to provide necessary guidel for overall management and accountability of receiving and preparing collections?	lines	☐ Yes	· No	⊠ N/A	Remarks:	
Does the command have adequate separation duties for collections received?	of	Yes	☐ No	⊠ N/A	Remarks:	
4 Does the command have adequate separation of		☐ Yes	□No	⊠ N/A	Remarks:	· ·
duties for the cash receipt process?  5. Is access to the safe and/or vault appropriately restricted?		☐ Yes	□No	⊠ N/A	Remarks:	, 3)
Does a record exists which identifies who has access to the safe and/or vault and when changes in access		☐ Yes	□No	⊠ N/A	Remarks:	5
occur?  7. Was the lock combination changed when an excess number of employees were aware of the combination, transferred out of the Area, or no longer		Yes	□ No	⊠ N/A	Remarks:	26
requires access?  8. Is the safe securely anchored to the building?		☐ Yes	□No	⊠ N/A	Remarks:	
Are weekly transmittal reports prepared in		⊠ Yes	□No	□ N/A	Remarks:	1
accordance with departmental policy?  10. Is the weekly transmittal report(s) submitted to Management Section (FMS) within five workin following the week covered by the report?	o Fiscal ng days	⊠ Yes	□No	□ N/A	Remarks:	*

#### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

<ol> <li>Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>CHP 221, Malicious Damage Report.</li> <li>CHP 464, Traffic Control Cost Estimate – Advance Deposit.</li> </ol>	⊠ Yes	No	□ N/A	Remarks:
(6) Civil subpoena.  12. Is a memorandum for cash shortages prepared if				
necessary?	⊠ Yes	☐ No	□ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□ No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	☐ Yes	□ No	⊠ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	□No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠ Yes	□No	□ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	□ No	⊠ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□ No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	⊠ Yes	□ No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	□No	□ N/A	Remarks:

STATE OF CALIFORNÍA
DEPARTMENT OF CALIFORNÍA HIGHWAY PATROL
INSPECTION PROGRAM

Chapter 4
Fiscal Controls

26. Were change funds used to cash checks, money	☐Yes	⊠ No	□ N/A	Remarks:
orders or cashier/travelers checks?  27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest	⊠Yes	☐ No	□ N/A	Remarks:
adequate to safeguard cash?  28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	□Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the	⊠ Yes	□No	□ N/A	Remarks: